



STATE OF TENNESSEE
DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
DIVISION OF WORKFORCE DEVELOPMENT

220 French Landing Drive
Nashville, TN 37243-1002
(615) 741-1031

October 1, 2012

Ms. Shannon Howell
Central Procurement Office
3rd Floor, WRS Tennessee Tower
312 Rosa L. Parks Avenue
Nashville, TN 37243

Dear Ms. Howell:

Please find attached the 2012-13 Department of Labor and Workforce Development (TDLWD) Fiscal and Program Monitoring Plan and the following required attachments:

- Federal and State Program Descriptions
- Total subrecipient Contract Population
- Subrecipient Contracts to be monitored
- Monitoring Cycle
- Risk Assessment and Assignments
- Personnel Information Regarding Monitoring Staff
- Summary of Findings and
- Correct Action Process

For additional information, please contact me at (615) 741-1031 or Rubka Tamerat at (615) 641-6786.

Sincerely,

A handwritten signature in cursive script that reads "James Roberson".

James Roberson, WIA Compliance Director
Division of Workforce Development

JR:RT:RK

TENNESSEE DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT

MONITORING PLAN

Revised September 29, 2012

Prepared by:
TENNESSEE DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
Nashville, TN



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GENERAL INFORMATION

Preface

This monitoring procedure has been developed to provide a reference guide for statewide WIA/career center monitoring activities. The information in this manual is intended as a guide and does not limit the reviews in number, scope, or format.

This monitoring plan contains the required Policy 22 elements which include: federal and state program descriptions, total subrecipient contract population; subrecipient contracts to be monitored; risk assessment and assignments; 2/3-and 1/3 requirements for monitoring the WIA contracts; personnel information regarding monitoring staff and summary of findings.

In addition this plan includes EEO information; the waivers approved for the WIA programs; the monitoring process and the program requirements for SCSEP (senior program).

INTRODUCTION

The Workforce Investment Act places primary emphasis on program performance at the state and local area levels. Monitoring at state and local area levels will ensure that proper systems are in place, are being followed, and meet the requirements of the law. To accomplish this, the state has prepared this Monitoring Procedure Manual, which includes the onsite and desktop systems corrective action and follow-up procedures, and other items.

The reason for the emphasis on monitoring is to assist in reducing the possibility of audit exceptions, sanctions, or unallowable costs (which may have to be reimbursed to the federal government). Through the use of established monitoring procedures, the state and local areas may minimize problems by early detection and correction.

Tennessee's Workforce Investment Act (WIA) implementation of 1998 is in its thirteenth year and this monitoring guidebook is presented for state fiscal year (2012-2013). Federal support for WIA stems from the United States Department of Labor, Employment and Training Administration (ETA) which delivers two basic funding streams: Title I (WIA) and Wagner-Peyser. The funds are distributed to sub-recipients in Tennessee by the Department of Labor and Workforce Development (TDLWD). This means that for thirteen consecutive years, the Division of Workforce Development (formerly the Division of Employment & Training), Department of Labor and Workforce Development, is relying upon Program Accountability and Review (PAR) to conduct sub-recipient monitoring reviews of WIA contractors. All contractors will be reviewed at least once each year. Currently, Tennessee is administering three National Emergency Grants funded by the U.S. Department of Labor (Employment and Training Administration).

Purpose: The Tennessee Department of Labor and Workforce Development, Program Accountability Review Unit, will conduct a desk-top review of the Local Investment Area and the Elected Local Board. The purpose of this review guide is to examine compliance with the Workforce Investment Act (WIA) in its implementing regulation and policies regarding agreements, board membership, appointment procedures and areas of representation, responsibilities, and activities.

It is the department's position, and the position of the federal funding agency that distributes WIA funds to the states, that such contractors should be monitored annually. National Emergency Grant contracts are to be monitored twice each year.

WIA §184 (A) 4 of WIA requires each Governor of a state receiving WIA Title funds "to conduct on an annual basis onsite monitoring of each local area within the state to ensure compliance with the uniform administrative requirement." (20 CFR §667.400 (c)(2)).

Workforce Development staff discussed risk factors with our Budget and Fiscal Services office and modified a risk-based analysis form from another state agency to assess the risk level and determine which of our contractors were at higher risks. The results of this analysis of various factors support the need for monitoring on an annual basis. **WIA §184(a) (4) 20 CFR §667.400(c)(2)).**

To conduct a thorough review, PAR monitors must examine both the fiscal and programmatic aspects at the Administrative Offices and/or Comprehensive Career Centers in the LWIAs. The updated PAR Guide and the Uniform Administrative Review instruments should be used to review expenditures and invoices which are connected to contracts given to LWIAs.

Prior to the monitoring reviews, PAR should receive a copy of the contracts from the department's Budget and Fiscal Office. As far as locations of the monitoring reviews, a fiscal review and a programmatic review can be conducted at the Administrative Offices. However, a programmatic review would be incomplete without the

monitors observing “first-hand” the delivery of participant services that occur in this process at the Comprehensive Career Centers’ One-Stop shops and/or affiliate sites.

The opportunity to deliver employment and training services in the One-Stop partnership depends on a proposed provider’s designation or certification as an Eligible Service Provider (*WIA §121*). Eligible providers are identified according to performance and through the state working in collaboration with Local Workforce Investment Boards. (Specific performance indicators are discussed separately in this monitoring review guide.)

Monitor Process

Notification Process: The Program Accountability Review team will provide written notice to each entity being monitored at least ten days prior to review’s being conducted.

The written notice will inform the entity of the dates for review, the programs that will be reviewed, and the contract numbers that will be examined and the estimated time of arrival.

If the date(s) identified in the written notification is not convenient for the entity being monitored, the entity must contact the monitors immediately. The entity and the monitors will determine a mutually satisfactory date, and the review will be rescheduled.

State monitors reserve the right to conduct monitoring or unscheduled reviews as appropriate.

Monitor Review Process: The Tennessee Department of Labor and Workforce Development (TDLWD) PAR monitors will use the monitoring guide to conduct objective system and program reviews. The guide will be amended as regulatory changes occur.

The monitor review may be conducted through desktop evaluation, onsite evaluation or through a combination of their two processes.

PAR monitors are authorized to monitor any entity receiving Workforce Investment Act (WIA) funds and their review may include examining program records, questioning employees, interviewing participants, and entering any site or premise which receives WIA funds.

Random sampling techniques will be used to perform the review of program records. Monitors hold exit conference exit conferences with appropriate officials for each review conducted.

After the monitors finish their examination, working papers shall be established during the review and maintained by the TDLWD.

Time Schedules

Monitor Report	A monitoring report is issued within fifteen working days (15) working days of the completion of the monitor working papers.
Corrective Action	A corrective action plan will be issued within (30) calendar days of the publishing of monitoring report that requires corrective action.
Progress Report	A progress report will be issued to TDLWD each month until the corrective action has been accomplished.

REQUIRED MONITORING PLAN

Grants awarded by Workforce Development consisted of, at present, cost-reimbursement contracts awarded in most cases to local government, county administrative units. As provided in WIA 1998, LWIAs are permitted to submit optional modifications to their local plans during the period covered by their plan (*WIA §112(d)*).

Additional emphasis is placed on quality service and continuous improvement in performance outcomes. The aggregate effort of the providers, in an LWIA, determines that area's annual performance, and the combined efforts of the areas will be reflected in statewide performance.

This outline should be used to gather information concerning the programs PAR has been asked to monitor during fiscal year 2012-2013. By using the questions below as a guide, PAR should receive consistent information from all grantors about WIA programs. The grantor can answer these questions and submit the information to PAR, or PAR staff can use this document as a guide when conducting informational gathering meetings with grantors.

Program Contact Information:

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Rubka Tamerat, Compliance Unit
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Workforce Development Division
220 French Landing Drive
Nashville, TN 37243
Phone: 615-253-6938 (Roberson)
615-741-6786 (Tamerat)
Fax: 615-741-3003

Fiscal Contact Information:

James M. Roberson, Compliance Unit Director
Abayomi Atolagbe, Compliance Unit

Mahrou Fatheddin, Accountant 3
Department of Labor and Workforce Development
220 French Landing Drive
Nashville, TN 37243
Phone: 615-741-5284 (Hunter)
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Contact for PAR Staff

Paul Stewart, Director
Program Accountability Review Unit
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Paul.Stewart@tn.gov

CORRECTIVE ACTION PLAN PROCESS

1. Office of Tennessee Finance of Administration (F and A) hosts an information meeting to provide guidelines for WIA Monitoring Review Guide.
2. Compliance Unit (CU) staff updates the department's Monitoring Review Guide based on OACS guidelines which include lists of contracts, a risk assessment chart, and fiscal and program questionnaire for all WIA programs.
3. CU Director forwards the updated Monitoring Review Guide with a letter to Finance and Administration by October 1 for approval/denial. Negotiations will take place until formally approved.
4. Once Monitoring Review Guide is approved by Finance and Administration, a copy is provided to Communications Office to be placed on TDLWD's Web site and a copy is provided to PAR.
5. CU staff receives a notice from PAR 30 days prior to a monitoring visit. CU staff enters the projected date of the review on its monitoring-tracking shared spreadsheet.
6. PAR forwards the results of the monitoring review to CU Director.
7. If there is no finding and no corrective action is needed, CU staff enters the date the monitoring report was issued, received, and the expression "no findings reported" on the spreadsheet.
8. If there is a finding, the CAP must be sent within 30 days. If the CAP is not accepted, a notice will be sent to the LWIA and technical assistance will be provided by WFD staff.
9. If the CAP does not arrive within 30 days or the CAP is not accepted, a notice will be sent to the LWIA or technical assistance will be provided by WFD staff.
10. After 30 days the CAP will be sent to the CU staff for approval.

For information regarding Policy 22 Requirements, please refer to the following pages for a quick find:

A. 2/3-1/3 Requirements for Monitoring the WIA

Please find the calculations for the 2/3-1/3 requirements. Number of contracts and amount of contracts to be monitored **Pages 9**

B. PERSONNEL INFORMATION REGARDING MONITORING STAFF

Please find the monitoring staff organizational chart and FTE's on **Page 11**

C. FEDERAL AND STATE PROGRAM DESCRIPTIONS

Please find the federal and state program description on **Page 12**

D. TOTAL SUBRECIPIENT CONTRACT POPULATION

Please find the total subrecipient contract populations on **Page 35**

E. SUBRECIPIENT CONTRACTS TO BE MONITORED

Please see **Attachment A and B.**

F. MONITORING CYCLE

WIA Monitoring Cycle is based on the state Fiscal Year (October 1st – September 30th)

G. RISK ASSESSMENT AND ASSIGNMENTS

Please see **Attachment C.**

H. SUMMARY OF FINDING

Please see **Attachment D.**

I. WORKFORCE DEVELOPMENT ORGANIZATION CHART

Please see **Attachment E.**

J. GRANTS MONITORING PROCESS

Please see **Attachment F.**

K. SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)

Please see **Attachment G.**

2/3-1/3 policy 22 Requirement for Monitoring the WIA

WIA section 184 (A) of the Workforce Investment Act requires each Governor of a state receiving WIA Title I funds “co conduct on an Annual basis on site monitoring of each local area within the state to ensure compliance with the uniform administrative requirement.” 20 CFRS section 667(c) (2).

Attachment “A” contains all of the contracts that need to be monitored throughout the year. Any additional contracts or modifications are included in Attachment (“B”) which issued every three months.

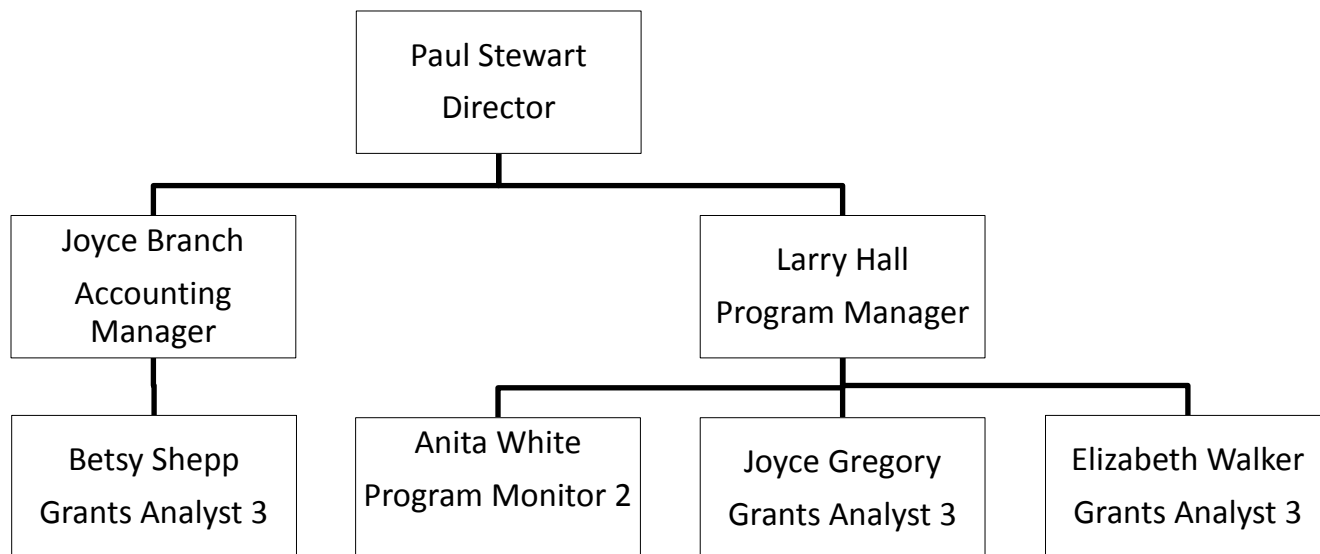
Monitoring Cycle: October 1, 2012-September 30, 2013

Please see below the calculations for the 2/3-1/3 requirements of the minimum number of contracts and the amounts of the contracts to monitored.

	Amount	Number
Attachment A	\$120,385,078	216
Attachment B	\$15,395,385	48
Grand Total	\$135,780,463	264
2/3 of the number of Contract to be monitored		176
1/3 amounts of funds to be monitored		\$45,260,155

The Department of Labor Workforce Development has historically monitored (2/3) of the contracts issued and 1/3 of the total amount of contracts allocated. This will fulfill the requirements under Policy 22.

PROGRAM ACCOUNTABILITY REVIEW ORGANIZATION CHART



Revised 9/24/10

TDLWD has 7 Full Time Equivalent (FTE) staff responsible for monitoring all of the WIA Programs. All staff monitors the formula, NEG, Incentive contracts and all other WIA contracts issued.

PROGRAM DESCRIPTIONS

The WIA of 1998 (H.R. 1385) rewrote federal statutes governing the nation's programs for job training, adult education, literacy, and vocational rehabilitation. The new federal legislation demanded that states build a more streamlined and more flexible workforce development system that meets the needs of its customers and avoids the duplication of services.

To this end, WIA 1998 requires that a physical location in each LWIA be established which provides universal access to a specific array of Core and Intensive services delivered by One-Stop Career Centers (CC) (*WIA §121(e)*).

Universal Labor Exchange Service

This WIA menu of services applies to each category of participant described in the following text. State merit-staff employees, Core Services and applicable Intensive Services, must be made available to all eligible adults, youth, and dislocated workers, including all employers and job seekers, Unemployment Insurance (UI) claimants, veterans, migrant and seasonal farm workers, older workers, and individuals with disabilities (**20 CFR Sub-Part C 652.207 et seq.**) (**42 U.S.C. 4701 et seq.,**) **Addendum 1, OMB A-133 Compliance Supplement June 30, 2009, p. 4-17.258 thru–10.**)

WIA Program Services

Core Services, with no eligibility requirements, consist of:

- a. Eligibility determinations
- b. Job Search and placement assistance, including career counseling
- c. Labor market information which identifies job vacancies, skills needed for demand occupations, and local, regional, and national employment trends
- d. Initial assessment of skills and needs
- e. Information regarding LWIA performance outcomes
- f. Assistance in establishing eligibility for welfare-to-work activities
- g. Information about and referral to available supportive services
- h. Follow-up services to help individuals keep their jobs once they are placed (*WIA §134(d)(B)(2)*)

Intensive Services consist of:

- a. Comprehensive assessments
- b. Development of Individual Employment Plans
- c. Group and individual counseling
- d. Case Management
- e. Short-term, prevocational services (*WIA §134 (d)(B)(3)*)

Training Services consist of:

- a. Development of Individual Training Accounts (ITA's)
- b. Occupational skills training
- c. On-the-job training
- d. Entrepreneurial training
- e. Skill upgrading
- f. Job readiness training

g. Adult education and literacy (**WIA §134 (d)(B)(4)**)

Supportive Services, when not available from other sources, consist of:

- a. Transportation
- b. Childcare
- c. Needs related payments necessary for participation in WIA
- d. Relocation assistance (**WIA §101 (46)**)

WIA Funding

WIA authorizes three funding streams for the WIA Title I programs -- Adult, Youth, and Dislocated Workers. Ninety-five (**95**) percent of the adult and youth funds and 70 percent of the dislocated worker funds are allocated to the LWIAs. Of the remaining youth, adult and dislocated worker funds, five (**5**) percent is used by states to administer the programs. In addition, twenty five (**25**) percent of the dislocated worker funds are used for Rapid Response activities statewide.

Of the **95** percent, used that is used for adults and youth (and thus that is (distributed to the LWIAs), 10 percent is allowed to be used for Administrative purposes while and the remaining 85 percent is to be used for WIA program activities such as core, intensive, and training.

Of the 70 percent that is used for the dislocated workers, 10 percent is to be used for Administrative purposes and the remaining 60% is to be used to serve dislocated workers training and core and intensive services.

Grants for Adults Must Serve...

All adults, 18 and over, are eligible to receive WIA services. In the event adult program funds allocated to an area are limited, priority will be given to recipients of public assistance and to other low-income individuals. The services to be provided are: 1) Core services, 2) Intensive services and 3) Training or Retraining services. The question "who is eligible for training" is dependent on the following conditions:

- The individual employment plan developed for the customer after providing core services and intensive services
- The funding availability in the area
- The criteria developed by the LWIA to target the most-in-need for retraining services.

Note: Limited funding in an LWIA is defined as a 75% expenditure rate before the end of the third quarter of that program year; at which time, the most in need or economically disadvantaged will be given priority for WIA services (**E&T Memo 05-29**).

Grants for Dislocated Workers Must Serve...

WIA § 101 (9) defines dislocated workers as:

- A. Individuals who have been terminated or laid off, or who have received a notice of termination or layoff from employment; are eligible for or have exhausted entitlement to unemployment compensation; have been employed for a duration sufficient to demonstrate attachment to the workforce but are not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under the state unemployment compensation law; and are unlikely to return to a previous industry or occupation.
- B. An individual who has been terminated or laid off, or has received a notice of termination or layoff from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise; is employed at a facility at

which the employer has made a general announcement that such facility will close within 180 days; or for purposes of eligibility is receiving services other than training services described in section 134(d)(4), intensive services described in section 134(d)(3), or supportive services; is employed at a facility where the employer has made a general announcement that the facility will close.

- C. An individual who was self-employed (including employment as a farmer, a rancher, or fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or is unemployed because of natural disaster.
- D. A displaced homemaker

Grants for Youth Must Service...

Eligible Youth

Individuals must meet the following criteria:

Youth age 14-21

Economically disadvantaged (Up to five (5) percent of the funds allocated to a local workforce area may be used for youth that do not meet the income criterion).

Youth must meet at least one of the following criteria:

- * Deficient in basic literacy skills
- * School Dropout
- * Homeless, a runaway, or a foster child
- * Pregnant or a parent
- * Offender
- * Requires additional assistance to complete an education program or to secure employment (as defined in the LWIA's plan).

Out-of School Youth

- An out-of-school youth is an eligible youth
- Youth age 14-21
- Economically disadvantaged (Up to 5 percent of the funds allocated to a local workforce area may be used for youth that do not meet the income criterion.)

And is one of the following:

- A school dropout, or
- A high school graduate or holder of a GED but is one of the following:
 - Basic skills deficient
 - Unemployed, or
 - Under-employed.

Discretionary/State & National Reserve

An LWIA may request additional State Reserve Funds and (National Reserve Funds) to serve WIA Title I eligible customers, who have been terminated or laid off, or have received a notice of termination or layoff from an employer. When such a request for additional funds is made, the Administrative Entity must submit a letter to the Administrator of Employment and Workforce Development.

The letter includes the number of persons to be served; the funding source (youth, adult, or dislocated worker); the training to be provided; and the amount of funds needed to serve the customers requesting services.

When such a request for additional funds is made, the state, in collaboration with the administrative entity in a local or (local areas), will submit a grant application to the United States Department of Labor (USDOL).

Program Services Providers

For-profit and non-profit providers may be used to deliver services. However, each training provider that the local workforce area (LWIA) uses for its respective areas must be approved as an eligible training provider, as specified in Tennessee's State Plan. This plan is accessible on the department's Web site at <http://www.tennesseeanytime.org/wiaetpl/>. The list of eligible training providers is routinely updated and can be accessed through the same hyperlink.

Allowable Activities: Focus Area

It is important that **PAR review the IEPs** (Individual Employment Plans), designed for participants, and determine whether the plans have been implemented. PAR should expect to see e-CMATs documentation that can be used to examine and track the activities of participants. This system will allow the review of the individual plan designed for a participant. This plan will include an assessment and activities which the participant receives to address his or her needs. In addition, assessment of each participant's abilities is a vital part of the WIA program.

Policies

New policies and changes made to previous policies may be found on the department's Web site. State policies are not specifically stated in the contracts. The policies issued for this program are routinely posted on the department's Website at the Workforce Development Web page <http://www.state.tn.us/labor-wfd/empwfd.html> after they are distributed via e-mail and via US to the LWIAs and other to WIA partners and contractors. The LWIAs either use the Web site, their e-mail copies, or hard copies. In addition, a WIA/ECMATs policy-program manual and the *Workforce Investment Programs Technical Assistance Manual* are available to the LWIAs through the Web site.

Exception-Based Guides

The current monitoring guide makes references to policies and the *Workforce Investment Programs Technical Assistance Manual*. However, there have been policy changes and updates, and additional information has been added. As a result, updates will be submitted to the monitoring guides as well as copies of the updated *Workforce Investment Programs Technical Assistance Manual*. These materials will be e-mailed to PAR as well as provided to monitors during training if necessary.

Program Fiscal Guidelines

1. Matching
 - The grantor does not require a match.
2. Davis-Bacon
 - There are no construction projects.

For Exceptions to construction project guidelines, please see: 20 CFR 667.260 and Addendum 1, OMB A-133 Compliance Supplement June 30, 2009, p. 4-17.258-9.

Allowable Costs

- Budget revisions need to be requested whenever increases or decreases are approved.
- Close-out reports are due forty-five (45) days after the end of the contract period.
- Payment methods are based upon “draw down requests” submitted to the Fiscal Office. Instructions, from our Financial Management Handbook January 2002 and our Supplementary Financial Guide to the One-Stop Comprehensive Financial Management Technical Assistance Guide October 2006, state (“The draw down request is to be faxed to the TDLWD no less than five (5) days prior to the anticipated date the funds will be required.”) – Check to see if LWIAs still need to fax draw downs after October 2012.
- All contractors must estimate needs based upon cash outlays. Funds may be drawn down no more frequently than weekly.

Program Fiscal Reporting

A monthly Expenditure Report is due on each contract by the 20th of the following month. A Quarterly Report reflecting accrued expenditures by cost category, when needed, on a cumulative basis must be submitted on each contract by the 20th of the following month, or by a date determined by Fiscal Services if necessary. The Quarterly Report must reflect program income, if any, and rebates or refunds to any program. There is also a WIA Stand-In Costs Report that must be submitted if costs are to be considered as a substitute for disallowed costs (as a result of an audit or other review). A Close Out package is to be completed on each contract and is due forty-five (45) days after the end of the contracts period.

Non-Discrimination

The Department of Labor and Workforce Development, State and LWIBs, One-Stop Career Centers, service providers, vendors, and sub-recipients are committed to full compliance with the following nondiscrimination and equal opportunity laws and implementing regulations:

- Civil Rights Act of 1964

- Rehabilitation Act of 1973, Section 504
- Americans with Disabilities Act of 1990
- Title IX of the Education Amendments of 1972
- Age Discrimination Act of 1965
- Department of Justice Final Rule 2002
- WIA §188
- The regulations implementing the statutory provisions.

Thus, PAR reviewers need to ensure that sub-recipients are in compliance with the listed nondiscrimination provisions, in accordance with *TCA §4-4-123* and *TCA §4-21-901 et seq.*, which is in place to ensure that:

No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance (*United States Code, §2000d*).

and that:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance (*United States Code, §1681*).

and,

No person in the United States shall, on the ground of blindness or severely impaired vision, be denied admission in any course of study by a recipient of Federal financial assistance for any education program or activity, but nothing herein shall be construed to require any such institution to provide any special services to such person because of his blindness or visual impairment (*United States Code, §1684*).

These laws and regulations are applicable to all of the programs, activities, and operations of TDLWD and the sub recipient entities with which the department contracts utilize federal funds. WIA 1998 describes these requirements as follows:

NON-DISCRIMINATION, (a) In General--(1) Federal financial assistance.--For the purpose of applying the prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), on the basis of disability under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), on the basis of sex under Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), or on the basis of race, color, or national origin under Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), programs and activities funded or otherwise financially assisted in whole or in part under this Act are considered to be programs and activities receiving Federal financial assistance. (2) Prohibition of discrimination regarding participation, benefits, and employment. No individual shall be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with, any such program or activity because of race, color, religion, sex (except as otherwise permitted under Title IX of the Education Amendments of 1972), national origin, age, disability, or political affiliation or belief. (3) Prohibition on assistance for facilities for sectarian instruction or religious worship.—Participants shall not be employed under this title to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for

religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing services to participants). (4) Prohibition on discrimination on basis of participant status.—No person may discriminate against an individual who is a participant in a program or activity that receives funds under this title, with respect to the terms and conditions affecting, or rights provided to, the individual, solely because of the status of the individual as a participant. (5) Prohibition on discrimination against certain non-citizens.—Participation in programs and activities or receiving funds under this title shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylums, and parolees, and other immigrants authorized by the Attorney General to work in the United States. (**WIA §188**)

Nondiscrimination Information and Reporting Requirements

The documentation and other compliance measures required in order complying with nondiscrimination statutes and regulations include, and all individuals covered by these regulations must sign, a nondiscrimination provision to indicate that the provider has explained the nondiscrimination provisions. A hardcopy of the signature page must be kept in the individual's file:

1. Sub recipients must provide initial and continuing notice that it does not discriminate on any prohibited ground. This notice must be provided to: (1) Registrants, applicants, and eligible applicants/registrants; (2) Participants; (3) Applicants for employment and employees; (4) Unions or professional organizations that hold collective bargaining or professional agreements with the recipient; (5) Sub recipients that receive WIA Title I funds from the recipient; and (6) Members of the public, including those with impaired vision or hearing, (b) As provided in Sec. 37.9, the recipient must take appropriate steps to ensure that communications with individuals with disabilities are as effective as communications with others. All notices must contain the specific language indicated below.

Equal Opportunity Is the Law

It is against the law for this recipient of Federal financial assistance to discriminate the following bases against any individual in the United States: on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief; and against any beneficiary of programs financially assisted under Title I of WIA of 1998 on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIA Title I-financially assisted program or activity. The recipient must not discriminate in any of the following areas: deciding who will be admitted, or have access to any WIA Title I financially-assisted program or activity; providing opportunities in, or treating any person with regard to such a program or activities or making employment decisions in the administration of, or in connection with, such a program or activity. (**29 CFR 37.29**)

2. Sub recipients that publish or broadcast program information in the news media must ensure that such publications and broadcasts state that the WIA Title I financially assisted program or activity in question is an equal opportunity employer/program (or otherwise indicate that discrimination in the WIA Title I financially assisted program or activity is prohibited by Federal Law). This publication must also indicate that auxiliary

aids and services are available upon request to individuals with disabilities. **29 CFR 34.24**

3. Certain sub recipients are required to provide language assistance to individuals who do not speak English as their primary language and who have a limited ability to speak, read, write or understand English. These individuals are to be considered Limited English Proficient (LEP) and are entitled to free language assistance. Sub recipients can begin to comply with these provisions through application of the 4 Factor Test as described in policy guidance issued by the U.S. Department of Justice dated April 12, 2002.

(Federal Register: May, 2003. Department of Labor, Policy Guidance to Federal Financial Assistance Recipients Regarding the Title VI Prohibition against National Origin Discrimination Affecting Limited English Proficient Persons)

Each sub recipient must maintain, and submit upon request, a log of complaints filed with it that allege discrimination on the ground(s) of race, color, religion, sex, national origin, age, disability, political affiliation or belief, citizenship, and/or participation in a WIA Title I financially assisted program or activity. The log must include: the name and address of the complainant; the ground of the complaint; a description of the complaint; the date the complaint was filed; the disposition and date of deposition of the complaint; and other pertinent information. Information that could lead to identification of a particular individual as having filed a complaint must be kept confidential. **29 CFR 37.37 (c)**

Waivers Approved 2012-2013

1. Waiver of the prohibition at CFR 664.510 on the use of Individual Training Accounts for older and out-of school youth.

The State was previously granted a waiver of the prohibition at 20 CFR 664.510 on the use of Individual Training Accounts (ITAs) for older youth and out-of-school youth program participants. The State is granted an extension of this waiver through June 30, 2012. Under this waiver, the State can use ITAs for older youth and out-of-school youth program participants. The State must continue to make the 10 youth program elements available as described at WIA Section 129(c) (2). The State should ensure that funds used for ITAs are tracked and that the ITAs are reflected in the individual service strategies for these youth.

2. Waiver to permit the State to replace the performance measures at WIA Section 136(b) with the common measures.

The State was previously granted a waiver that allows the State to replace the 17 performance measures under WIA Section 136(b) with the common measures. The State is granted an extension of this waiver through June 30, 2012. This waiver permits the State to negotiate and report WIA outcomes against the common performance measures only, rather than the performance measures described at WIA Section 136(b). The State will no longer negotiate and report to ETA on the following WIA measures: WIA adult and dislocated worker credential rates; participant and employer customer satisfaction; older youth measures; and younger youth measures. The State will use the three adult common performance measures to negotiate goals and report outcomes for the WIA Adult and WIA Dislocated Workers programs. The State will use the three youth common performance measures to negotiate goals and report outcomes for the WIA Youth program. Workforce Investment Act Standardized Record Data system (WIASRD) item 619, Type of Recognized Credential, should be completed for each individual as appropriate, regardless of this waiver to report on common performance measure outcomes only.

3. Waiver of WIA Section 133(b) (4) to increase the allowable transfer amount (up to 50%) between Adult and Dislocated Worker funding streams allocated to a local area.

The State was previously granted a waiver to permit an increase in the amount a state is allowed to transfer between the Adult and Dislocated Worker funding streams. The State is granted an extension of this waiver through June 30, 2012. Under the waiver, transfer authority is limited to 50 percent. This limitation provides states flexibility while ensuring consistency with Congressional intent regarding the level of funding appropriated for the WIA Adult and Dislocated Worker programs.

4. Waiver of WIA Section 123 that requires that providers of Youth program elements is selected on a competitive basis.

The State was previously granted a waiver of the requirement for competitive procurement of service providers for three of the ten youth program elements: supportive services, follow-up services, and work experience. The State is granted an extension of this waiver through June 30, 2012. Under this waiver, the State is permitted to allow its One-Stop Career Centers or partner agencies to directly provide youth program elements. In using this waiver, the State and local areas must still meet Office of Management and Budget requirements (codified in 29 CFR 95.4095.48 and 97.36) and all state and local procurement laws and policies.

5. Waiver of WIA Section 134(a) to permit local areas to use a portion of local funds (up to 10%) for incumbent worker training.

The State was previously granted a waiver to permit local areas to conduct allowable statewide activities as defined under WIA Section 134(a) (3) with local WIA formula funding, specifically incumbent worker training. The State is granted an extension of this waiver through June 30, 2012. Under this waiver, the State is permitted to allow local areas to use up to 10 percent of the local Dislocated Worker funds and up to 10 percent of the local Adult funds for incumbent worker training only as part of a lay-off aversion strategy.

Use of Adult funds must be restricted to serving lower income adults under this waiver. ETA believes limiting incumbent worker training to the specified level and requiring it to be a part of layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the workforce system.

All training delivered under this waiver is restricted to skill attainment activities. Local areas must continue to conduct the required local employment and training activities at WIA Section 134(d). Also, the State is required to report performance outcomes for any individual served under this waiver, in the WIASRD, field 309. TEGL No. 2609, Section 7A, "Workforce Investment Act (WIA) Waiver Policy and Waiver Decisions for PY 2009 and 2010" and TEGL No. 30-09, "Layoff Aversion Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver" provide policy guidance related to implementation of this waiver.

6. Waiver of WIA Section 134(a) (I) (A) to permit a portion of the funds (up to 20%, as permitted in the letter June 29, 2010) reserved for rapid response activities to be used for incumbent worker training and other statewide activities.

The State was previously granted a waiver to permit use of rapid response funds to conduct allowable statewide activities as defined under WIA Section 134(a) (3), specifically incumbent worker training. The State is granted an extension of this waiver through June 30, 2012. Under this

waiver, the State is permitted to use up to 20 percent of rapid response funds for incumbent worker training only as part of a lay-off aversion strategy. ETA believes limiting incumbent worker training to layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is paramount.

ONE-STOP CAREER SYSTEM AND PARTNERS

Purpose: The One-Stop Career System centers and consortia partners administer and deliver employment services to adults, youth, and dislocated workers in order to improve access to WIA Title I program components and increase long-term employment opportunities for individuals. The required federal partners in the consortia include, among others, Veterans Workforce programs, Wagner-Peyser programs, Adult Education and Literacy, Rehabilitation Act of 1973 programs, the Social Security Act, and the Trade Act of 1974 programs. (An exhaustive list of required partners can be found at **WIA §121 (b)(1)(B)(i-xii)**). It is allowable for additional entities to be named in the MOU, or included in competitive grant announcements, in order to administer and deliver TANF programs, National and Community Service Act programs, and more-- **WIA §121 (b)(2)(B)(i-v)**. To enhance program services to WIA customers, Tennessee requested and retained the Waivers through June 30, 2012. Following are the program Waivers that will be used by sub-grantees:

WIA MEMORANDA OF UNDERSTANDING (MOU)

Section 662.310 of the federal WIA regulations provides that local areas may develop a single umbrella MOU covering all partners and the Local Board, or separate MOUs between partners and the Local Board. Due to the rapid expansion of the Tennessee Career Center System, the department opted to institute the single umbrella approach.

It was envisioned that this process would assist both the Grant Authority and the Local Workforce Investment Board by: (1) Allowing a partnering agency's Duration of Term to extend until the parties mutually agree to modify the agreement, (2) Streamlining the signatory process, and (3) Providing a simpler, yet more comprehensive, composite of the Local Career Center System by delineating each partnering agency's contribution by each individual county Career Center facility.

Statutory requirements for the instrument are:

1. The services to be provided through the one-stop delivery system
2. The manner in which costs of such services and the operating costs of the system will be funded
3. The duration of the MOU
4. The procedures for amending the memoranda during the term of the memoranda
5. The methods for referral of individuals between the one-stop operator and the one-stop partners, for the appropriate services and activities
6. Other provisions, consistent with the requirements of this Title, as the parties to the agreement determine to be appropriate.

The MOU contains the following elements:

1. MOU Boilerplate: Each partnering agency is listed under “Parties to this agreement.”
2. Partner’s MOU: Each party to the agreement must have an individual component consisting of the following elements—
 - Cover Sheet identifying the partnering agency by name, address, and contact person
 - Special Terms and Conditions Page allowed by the agency’s contractual regulations to include a page labeled “Special Terms and Conditions.”
3. Letter of Confirmation indicating which required partners are not included due to the services not being available in the LWIA.
4. Signatory Sheet signed by the Local Workforce Investment Board Chairperson, the Local Chief Elected Official(s) Chairperson, and the signature authority of all partnering agencies.
5. Executive Summary containing an executive summary as follows--
 - A which is a rollup of all partners programs or services provided, how the services will be provided, methods of referral, and personnel positions by title, part-time or full-time (if part-time, scheduled hours/days) by individual county facility.
 - The Local Career Center System total budget rollup showing the source, amount of the funds and allocation method(s), and indirect costs by each partnering agency by county facility
 - The Local Career Center System total budget rollup depicting the partner agencies’ total contribution.

PERFORMANCE OUTCOME MEASURES

The WIA specifies core indicators of performance for workforce investment activities in adult, dislocated worker, and youth programs. The **nine (9) Common Measures apply to the adult, dislocated worker and youth programs. PAR will not verify outcome data; it will only verify the process to gather the outcomes to be reviewed.**

The outcomes are supported by the contracts in that the State Plan. Each local workforce area plan includes information regarding goals for each performance measure and how services will be provided to achieve successful outcomes for each measure. Federal guidance describes the opportunity for additional program funds if performance goals are successfully achieved. There also are possible sanctions if performance goals are not met.

State of Tennessee WIA Regression Performance Levels PY 2013 Common Measures

Performance Metric	State Regression Levels PY 2012
Adult Measures	
Entered Employment	81%
Employment Retention	88.6%
Average Earnings	\$15,711
Dislocated Worker	
Entered Employment	88%
Employment Retention	92.2%
Average Earnings	\$15,000
Youth Measures	
Placement	75.5%
Attainment	75%
Literacy/Numeracy	48%

GRIEVANCE PROCEDURES

Under WIA law, Section 181, “Requirements and Restrictions,” the general rule for grievance is that “each State and local area receiving an allotment under WIA shall establish and maintain a procedure for grievances or complaints that there have been violations of WIA requirements from participants and other interested or affected parties. Such procedures shall include an opportunity for a hearing; these must be completed within 60 days after the filing of the grievance or complaint.” If a decision relating to the violation has not been reached in 60 days, additional procedures may include an investigation and final determination relating to the appeals of the allegation. Other issues relative to grievance procedures, such as remedies and rules of construction, are covered in Section 181 of WIA Law, as well as CFR 667.600.

WIA Section 181 “Requirements and Restrictions,” 20 CFR 667.600; 29 CFR part 37, WIA Final Rule 661.410(a)(5) and 661.430(a)(1)(iii); E&T Memo#00-

FEDERAL PROGRAMS

Adult Program

The purpose of the Adult Program is to provide core, intensive, and training services to adults who need employment, education, training, or support services under WIA Title I programs.

Adult Program Eligibility

The following is a description of eligible adults under WIA. Individuals must meet the following criteria:
E&T Policy Memo 00-10

1. Ages 18+

Adult Eligibility Documentation

PAR should ensure that eligibility is verified. The WIA Title I program is delivered statewide through the Career Center system which provides universal access to participants who are adults, youth, and dislocated workers, and employers. The allowable use of funds is determined by the eligibility criteria for each specific program or funding stream, and the individual's needs. The following is a list of basic, adult program eligibility requirements:

1. Social Security Number
2. Proof of Citizenship or Permanent Residency Card
3. Work Permit Issued by Immigration and Naturalization Service
4. Receipt of Nondiscrimination Documents, with Signature of Participant
5. When funds for adult programs are limited (75% expended by 3rd Quarter), proof of income or qualifying disability is an eligibility requirement. (***E&T Memo 03-25***)

Please note that the records needed to comply with requirements 1 through 3 (shown above) may vary.
WIA/e-CMATs Program Manual, 20 CFR 663.640.

Adult Program Outcomes and Reporting

The state plan, as well as each LWIA plan, includes information regarding goals for each performance measure and how services will be provided in order to achieve successful outcomes for each measure. Federal guidance describes the opportunity for additional program funds if performance goals are successfully achieved. There also are possible sanctions if performance goals are not met. Please see the attached *Table for State Performance Indicators and Goals*; for reporting parameters, please see the associated *Table for Data Capture and Reporting*.

Three (3) required performance measures apply to adult programs for reporting outcomes:

1. Entry into unsubsidized employment.
2. Retention in unsubsidized employment nine months after entry into employment.
3. Average Earnings received in unsubsidized employment nine months after entry into employment. (***20 CFR 666.100(a)(1) E&T Memo 01-14; WIA Memo WD 02-23, Change 3.***)

Dislocated Worker Program

This program provides core, intensive, and training services through the One-Stop Career Center System for the two workforce program clients: job seekers and employers. The WIA goal of universal access is achieved, from among other strategies, through close integration of services provided by Wagner-Peyser, WIA Adult and Dislocated Worker partners, and other partners in the One-Stop Career Center.

Dislocated Worker Program Eligibility

The following is a description of eligible dislocated workers under WIA. Individuals must meet the following criteria: ***E&T Policy Memo 00-10***

1. Has been terminated or laid off, or who has received a notice of termination or layoff, from employment.
2. Is eligible for or has exhausted entitlement to unemployment compensation; or
3. Has been employed for a duration sufficient to demonstrate, to the appropriate entity at a one-stop center referred to in WIA section 134(c), attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; and
4. Is unlikely to return to a previous industry or occupation
5. Has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
6. Is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
7. For purposes of eligibility to receive services other than training services described in WIA section 134 (d)(4), intensive services described in WIA section 134 (d)(3), or supportive services; and is employed at a facility at which the employer has made a general announcement that the facility will close.
8. Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or
9. Is a displaced homemaker. The term “displaced homemaker” means an individual who has been providing unpaid services to family members in the home and who; (A) has been dependent on the income of another family member but is no longer supported by that income; and (B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. (***Workforce Investment Act Technical Assistance Manual WIA §101 (9) (A-D) WIA §101 (10) (A-B)***)

Youth Program

The purpose of the WIA youth program is to improve the delivery of services to young people, assisting them with the transition, expectations and skills needed for success in the workplace. The law calls for close linkages to local labor market needs and community youth programs and services, and with strong connections between occupational and academic learning. Youth programs include activities that promote youth development and citizenship. Some of these activities are: such as leadership development through community service opportunities; adult mentoring and follow-up; and targeted opportunities for youth living in high poverty areas.

Youth Program Elements

Ten program elements are required by law to be available to all eligible youth participating in WIA: **WIA §129 (c)(2)**

1. Tutoring, study skills training, and instruction leading to completion of secondary school, including dropout prevention strategies.
2. Alternative secondary school services.
3. Summer employment opportunities linked to academic and occupational learning. Note: There is no separate summer program on allocation. Summer employment opportunities are to be one component in a year-round design. Summer employment opportunities must not be a stand-alone program separate from the year-round youth program and must include follow-up service for a minimum of 12 months.
4. Paid/Unpaid work experiences. Note: Work experience can be in the public or private sector and must be connected with the student's academic and career goals.
5. Occupational skills training integrated with career goals.
6. Supportive Services
7. Leadership development opportunities.
8. Adult mentoring for not less than 12 months. Note: Mentoring can be during and after program participation.
9. Follow-up services for no less than 12 months. Note: Follow-up services are after program participation and are required elements for all youth enrolled in WIA.
10. Comprehensive guidance and counseling.

Each LWIA is responsible for identifying providers through a competitive bid process. Providers included K through 12, post-secondary, technology schools, community-based organizations, faith-based organizations, and human resource agencies.

Youth Program Eligibility

The following is a description of eligible youth under WIA. Individuals must meet the following criteria: **20 CFR Subpart B 664.200**

1. Ages 14 – 21
2. Economically disadvantaged (up to 5% of the funds allocated to an LWIA may be used for youth that do not meet the income criteria)

And one of the following **20 CFR Subpart B 664.220**

1. Efficient in basic literacy skills.
2. School dropout.

3. Homeless, runaway, or a foster child
4. Pregnant or a parent.
5. Offender.
6. Require additional assistance to complete an education program or to secure employment (as defined in the LWIA plan).

Youth Eligibility Documentation

Eligibility is determined in a number of ways and can include: through the transfer of school records, income documentation, birth certificate, or participant statements. PAR should expect to see if eligibility has been verified. However, due to the volume of youth participants, it is recommended that a 10% sample of files or 25 participant records (whichever is smaller) should be examined.

Additional Youth Eligibility Criteria

WIA does require that, of all eligible youth served, 30% of the funding is to be used to serve out-of-school youth. Out-of-School youth are defined as: ***20 CFR Subpart C 664.300-320***

1. Ages 18 – 21.
2. Economically disadvantaged (up to 5% of the funds allocated to an LWIA may be used for youth that do not meet the income criteria).

And one of the following:

1. School dropout.
2. High school graduate.
3. Holder of a GED, but is one of the following:
 - Basic skills deficient
 - Unemployed or underemployed

Allowable Youth Activities: Focus Areas

Each LWIA is required to establish a Youth Council that works with or can be a subcommittee of the local board which serves as an advisory board to the full Workforce Board. ***WIA §117 (h)*** Youth Council responsibilities include:

1. Developing parts of the local plan relating to eligible youth, as determined by the chairperson of the LWIB.
2. Recommending eligible service providers to be awarded grants on a competitive basis and to carry out youth activities under WIA, subject to approval of the LWIB.
3. Conduct oversight with respect to eligible providers of youth services in the local area.
4. Coordinate youth activities that:
 - Provide eligible youth seeking assistance in achieving academic and employment success, effective and comprehensive activities, which include options for improving educational and skill competencies, and effective connections with employers.
 - Ensure ongoing mentoring opportunities with adults.
 - Provide opportunities for training.
 - Provide incentives for recognition and achievement.

- Provide opportunities in activities related to leadership development, decision-making, citizenship, and community service.
- Other duties determined appropriate by the chairperson of the LWIB.

Youth Council Membership

1. LWIB Members – Are members of the local board with special interest or expertise in youth policy. This includes LWIB members, both public and private, with special interest or expertise in youth policy (if present on the board).
2. Youth Service Agencies – Are representatives of youth services, such as juvenile justice and local law enforcement agencies?
3. Public Housing Authorities – Local housing authorities
4. Parents of Eligible Youth – Are parents of eligible youth seeking assistance under this subtitle?
5. Former Customers/Representatives – Do such individuals include former participants, and representatives of organizations that have experience relating to youth activities?
6. Job Corps – Are Job Corps representatives (if appropriate)?
7. Other Partners/Representatives – Are other members which may include other representatives as the chairperson of the LWIB, in cooperation with the chief local elected official, determines to be appropriate?

Youth Program Outcomes and Reporting

Three (3) required performance measures (common measures) apply to youth programs for reporting outcomes served by WIA 1998. These follow:

Youth (Age 19-21) **20 CFR 666.100 (a)(3)(ii)**

- Attainment of a Degree or Certificate.
- Placement in Employment or Education.
- Literacy and Numeracy Gains.

20 CFR 666.100(a)(1) Common Measures Waiver, Letter to Governor Haslam, 02/13/2008; E&T Memo 01-14; WIA Memo WD 02-23, Change 3

Jobs for Tennessee Graduates

The Jobs for Tennessee Graduates (JTG) program is a collaborative effort of the Tennessee Department of Labor and Workforce Development and the Tennessee Department of Education. The program is designed to assist at-risk/disadvantaged youth in graduating from high school and in finding and keeping a quality job. The purpose of JTG is to focus on career development, job attainment, job survival, basic skills, leadership and self-development and personal skills. Upon meeting these personal and work-related skills, JTG meets the ten program elements established in WIA section 129 (c)(2). These elements encompass the overall issues of educational achievement, employment preparation, leadership development, and support services.

Local high schools provide both multi-year and senior year school-to-work programs. There is an additional drop-out recovery program that serves older youth who have dropped-out of high school and are seeking a GED or equivalent

credentials.

National Emergency Grants

The purpose of National Emergency Grants is to provide supplemental dislocated worker funds to LWIAs and other eligible entities to respond effectively to workers and communities affected by major economic dislocations and other dislocation events which cannot be met with formula allotments.

The services to be provided in the Dislocated Worker and National Emergency Grant programs, as initially shown in the introduction to this review guide, include:

National Emergency Grants are provided through WIA in order to deliver the following employment and training activities:

1. To provide employment and training assistance to workers affected by major economic dislocations, such as plant closures, mass layoffs, or closures and realignments of military installations;
2. To provide assistance to the Governor of Tennessee within the boundaries of which is an area that has suffered an emergency or a major disaster as defined in paragraphs (1) and (2), respectively, of section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122 (1) and (2)).
3. To provide disaster relief employment in the area; and to provide additional assistance to a state or local board for eligible dislocated workers in a case in which the state or local board has expended the funds provided under this section to carry out activities described in paragraphs (1) and (2) and can demonstrate the need for additional funds to provide appropriate services for such workers, in accordance with requirements prescribed by the Department of Labor. (**WIA §173 (a)(1-3)**).

Eligibility National Emergency Grants

Eligibility criteria for employment and training assistance under National Emergency Grants are that an individual must be:

Eligibility

1. A dislocated worker;
2. A civilian employee of the Department of Defense or the Department of Energy employed at a military installation that is being closed, or that will undergo realignment, within the next 24 months after the date of the determination of eligibility;
3. Is a long-term unemployed individual, or is temporarily or permanently laid off as a consequence of a disaster. (Note: long-term unemployed is defined by the state or special in the Terms and Conditions of the specific NEG contract.)
4. An individual who is employed in a non-managerial position with a Department of Defense contractor, who is determined by the Secretary of Defense to be at-risk of termination from employment as a result of reductions in defense expenditures, and whose employer is converting operations from defense to non-defense applications in order to prevent worker layoffs; or
5. A member of the Armed Forces who--(I) was on active duty or full-time National Guard duty; (II) is involuntarily separated (as defined in section 1141 of title 10,

- United States Code) from active duty or full-time National Guard duty; or is separated from active duty or full-time National Guard duty pursuant to a special separation benefits program under section 1174a of title 10, United States Code, or the voluntary separation incentive program under section 1175 of that title;
6. Is not entitled to retired or retained pay incident to the separation; and applies for such employment and training assistance before the end of the 180-day period beginning on the date of that separation. (*WIA §173 (c)(2)(A)(i-iv), WIA §173 (d)(2)*).

Dislocated Worker and NEG Eligibility Documentation

PAR should ensure that eligibility is verified. The WIA Title I program is delivered statewide through the One-Stop Career Center system which provides universal access to participants who are adults, youth, dislocated workers, and employers. The allowable use of funds is determined by the eligibility criteria for each specific program or funding stream, and determined by the individual's needs. Dislocated Workers who need WIA services must provide:

1. Social Security Number
2. Proof of Citizenship or Permanent Residency Card
3. Work Permit Issued by Immigration and Naturalization Service
4. Self-employment documents such as tax forms
5. Divorce papers for displaced homemakers
6. Proof of UI benefits or qualification for UI benefits
7. Layoff papers showing loss of employment
8. Receipt of Nondiscrimination Documents, with Signature of Participant
9. When funds for adult programs are limited (75% expended by 3rd Quarter) proof of income or qualifying disability is an eligibility requirement. If an NEG has been issued, this criterion has already been met. (*E&T Memo 03-25*).

Please note that the records needed to comply with requirements 1 through 3 (shown above) may vary. However, documentation of 1 through 3 shown above, at a minimum, may consist of one item from List A, or one each of the items from List B and List C of **Exhibit 11. (WIA/CMATS Program Manual, Workforce Investment Program, Technical Assistance Manual)**.

Additional Eligibility Guidelines for PAR

The following factors supersede the application of any of the following dislocated worker criteria (Exception: displaced homemakers and self-employed) and could affect eligibility:

1. Individuals who are unable to work for any reason and such condition can be documented are not considered eligible.
2. Individuals who are terminated or laid-off for cause are not eligible for dislocated services.
3. Individuals are not eligible if the closing or layoff constitutes a strike or lockout.
4. Individuals who voluntarily terminate (quit) their employment are not eligible for dislocated services as a result of that dislocation.
5. The situation outlined in the last two circumstances above would not prevent an applicant from receiving dislocated worker services if the individual is awarded UI benefits as a result of mitigating circumstances surrounding the termination for cause or voluntary termination.
6. Applicants who are laid-off with recall rights should not be excluded from dislocated worker services based solely on the recall factor. This situation will apply primarily to organized labor with employment contracts.

7. Applicants shall not be considered eligible for dislocated worker services if the applicant has been dislocated for five or more calendar years from the date of attempted certification.
8. Applicant's termination must be permanent in nature.

Dislocated Worker and NEG Program Service Providers

In addition to the service provider guidelines introduced earlier in this review guide, it is IMPORTANT for PAR to note that, in the National Emergency Grant program, approved service providers may not be listed in the preliminary list of approved providers as published by Workforce Development.

Dislocated Worker and NEG Program Outcomes and Reporting

The state plan, as well as each LWIA plan, includes information regarding goals for each performance measure and how services will be provided in order to achieve successful outcomes for each measure. Federal guidance describes the opportunity for additional program funds if performance goals are successfully achieved. There also are possible sanctions if performance goals are not met. Please see the attached *Table for State Performance Indicators and Goals*; and for reporting parameters, please see the associated *Table for Data Capture and Reporting*. Three (3) required performance measures apply to Dislocated Worker programs for reporting outcomes, as follows:

1. Entry into unsubsidized employment.
2. Retention in unsubsidized employment nine months after entry into the employment.
3. Average Earnings received in unsubsidized employment nine months after entry into the employment (*E&T Memo 01-14; WIA Memo WD 02-23, Change 3*).

Statewide Programs

Statewide programs are various programs the state directly contracts with entities delivering services that are not usually delivered by Local Workforce Investment Areas.

Statewide Programs Eligibility Criteria

Eligibility for these programs is the same as in other WIA programs or funding streams (Adults, Dislocated Worker, and Youth). However, the skill shortage grants- eligibility criteria are different since these services are geared toward skill-specific training.

Statewide Programs: Focus Areas, Policies, and Test Sampling

Additional information and questions regarding each specific statewide grant or activity may be found in the state contract. Furthermore, generic questions about these grants will be submitted to the PAR office for inclusion in the monitoring instrument used by F and A monitors. Also, WIA federal regulations do not specify what percentage or how many of the participant files should be reviewed. If the standard review which PAR conducts is 20%, this should be adequate.

Statewide Programs Outcome Measures

The state plan, as well as each LWIA plan, includes information regarding goals for each performance measure and how services will be provided in order to achieve successful outcomes for each measure. Federal guidance describes the opportunity for additional program funds if performance goals are successfully achieved. There also are possible sanctions if performance goals are not met. Please see the attached *Table for State Performance Indicators and Goals*; and for reporting parameters, please see the associated *Table for Data Capture and Reporting*.

Outcomes for statewide-funded programs are noted in two ways. First there are contracts or funds that provide direct participant services (core, intensive, and training services) that will be calculated for performance measures. If the contract provides core services for adults, the adult program performance measures will apply. If the contract provides direct services to dislocated workers, the dislocated worker/NEG performance measures will be used, and similarly for the youth program contracts. Please see the performance-measures segments of this guide.

Next, are the contracts that do not provide direct participant services, but provide administrative types of services such as those from the AFL-CIO, or from the University of Memphis; for these, performance measures will not apply. At the end of each contract year, the state will evaluate the terms of the contracts and make a decision whether or not to continue contracting with the entities.

Incentive Grants

These grants are provided to states in recognition of performance that exceeds negotiated levels. The purpose of incentive grants is to carry out one or more innovative programs under WIA Title I, WIA Title II, or the Carl D. Perkins Vocational and Technical Education Act. Local incentive grant funds may be used for any of these activities, and other activities with the written approval of the Department of Labor and Workforce Development. Not all incentive funds are spent on participants; yet, if an LWIA's plan for incentive funds reflects participant services, then the incentive contract needs to be reviewed using the same guidelines as regular adult, dislocated worker, and/or youth program contracts. **WIA § 503 (a) 20 CFR 666.410**

To receive an Incentive Grant, the qualified LWIA must provide a short summary describing the circumstances for requesting funds. This should include: the amount of available funds in the particular funding source; the total cost of training and the cost per participant; the previous occupations of the customers, and the new training field customers are seeking; an analysis of the needs survey if there is a request from the result of plant closure or mass layoff; the reasons for not using other funding sources to pay for the training costs (Pell Grants etc.); and, evidence of coordinated efforts with other partners to meet the other needs of the customers requesting training services. The decision for approval or denial of state funding will be made within seven working days of the receipt of application. If the state denies the request for funding, the state will forward the LWIA a National Reserve Grant application. (See WIA Policy E&T Memo 01--13.)

Incentive Awards

The Workforce Investment Act allows states the option of providing incentive awards for LWIAs meeting or exceeding performance goals. During the first two years, there were no incentive awards. However, a new state policy (*E&T Memo 02-23 Change 3*) approved by the State Workforce Development Board on October 2, 2006, authorizes incentives and sanctions. (See Workforce Development Web site). For state fiscal-year 2010 - 2011, incentive grants have been awarded in Tennessee, and thus must be monitored on a yearly basis.

SUBRECIPIENT CONTRACTS POPULATION

<p>LWIA 1</p>	<p>Kathy Pierce, Executive Director Alliance for Business and Training, Inc. P.O. Box 249 386, Highway 91 North Elizabethton, TN 37644 Office: 423-547-7515 ext. 126 FAX: 423-547-7522 Cell: 423-895-1105 Email: kpierce@ab-t.org And glyons@ab-t.org</p> <p>Counties Served: Carter, Johnson, Sullivan, Unicoi, & Washington</p>
<p>LWIA 2</p>	<p>Dr. Nancy Benziger Brown, Ph.D. FAICP Dean of Workforce Development Walters State Community College 500 South Davy Crockett Parkway Morristown, TN 37813-9989 Office: 423-318-2709 FAX: 423-585-6769 Email: nancy.brown@ws.edu Or brownnb@aol.com</p> <p>Counties Served: Claiborne, Cocke, Grainger, Greene, Hamblen, Hancock, Hawkins, Jefferson, Sevier, & Union</p>
<p>LWIA 2</p>	<p>Donna W. Stansberry, Director of WIA Services 6057 W- Andrew Johnson Hwy., Suite 6A Talbot, TN 37877 Office: 423-317-1062 FAX: 423-317-1061 Email: Donna.Stansberry@ws.edu</p>

Area	Administrative Entity & WIA Contact
LWIA 3	<p>Barbara Kelly, Executive Director Knoxville-Knox County CAC P.O. Box 51650 2247 Western Avenue Knoxville, TN 37950-1650 Office: 865-546-3500 FAX: 865-546-0832 Email: barbara.kelly@knoxcac.org</p> <p>Counties Served: Knox</p>
LWIA 3	<p>Vaughn Smith WIA Director Knoxville-Knox County CAC P.O. Box 51650 2247 Western Avenue Knoxville, TN 37950-1650 Office: 865-544-5200 etc 1214 FAX: 865-544-5269 Email: vaughn.smith@knoxcac.org</p> <p>Counties Served: Knox</p>
LWIA 4	<p>Gary Holiway, Executive Director East Tennessee Human Resource Agency 9111 Cross Park Drive Suite D-100 Knoxville, TN 37923 Office: 865-691-2551 ext 4202 Cell: 865-705-8469 FAX: 865-531-7216 Email: gholiway@ethra.org</p> <p>Anderson, Blount, Campbell, Cumberland, Loudon, Monroe, Morgan, Roane, and Scott</p>
LWIA 4	<p>Chris Tiller, Interim WIA Director 865-813-0281 Cell: 865-705-8650 ctiller@ethra.org</p>

Area	Administrative Entity & WIA Contact
LWIA 5	<p style="text-align: center;"> Beth Jones, Executive Director Southeast Tennessee Development District 1000 Riverfront Parkway Chattanooga, TN 37405-0757 Office: 423-266-5781 FAX: 423-267-7705 Email: bjones@sedev.org </p> <p style="text-align: center;"> Bledsoe, Bradley, Hamilton, Marion, McMinn, Meigs, Polk, Rhea, and Sequatchie </p>
LWIA 5	<p style="text-align: center;"> Rick Layne, WIA Director Southeast Tennessee Development District Address: TN Career Center – Chattanooga Eastgate Towne Center Chattanooga, TN 37411 Office: 423-424-4212 FAX: 423-643-2396 Cell: 423-413-8742 Email: rlayne@sedev.org another contact: Anna Smith AnnaS@sedev.org </p>
LWIA 6	<p style="text-align: center;"> Gary Morgan, Executive Director Workforce Solutions 410 Wilson Ave P.O. Box 1628 Tullahoma, TN 37388 Office: 931-455-9596 FAX: 931-455-9580 TDD: 931-454-0477 Email: gmorgan@workforcesolutionstn.org </p> <p style="text-align: center;"> Counties Served: Bedford, Coffee, Franklin, Grundy, Lincoln, Moore, & Warren </p>

Area	Administrative Entity & WIA Contact
LWIA 7	<p> Luke Collins, Executive Director Upper Cumberland Human Resource Agency 580 South Jefferson Suite B Cookeville, TN 38501 Office: 931-520-9600 Direct Office Line: 931-528-1127 FAX: 931-526-8305 Cell: 931-397-2025 Email: lcollins@uchra.com </p> <p> Cannon, Clay, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, and White </p>
LWIA 7	<p> Pat Callahan, WIA Director Local Workforce Investment Area 7 Upper Cumberland Human Resource Agency 580 South Jefferson Avenue, Suite B Cookeville, TN 38501 Phone: (931) 520-9610 (Direct Line) Office: 931-528-1127 FAX: 931-526-8305 TTY: 1-800-848-0298 Email: lwia7@yahoo.com </p>
LWIA 8	<p> Marla Rye, Executive Director Workforce Essentials 110 Main Street Clarksville, TN 37040 Office: 931-551-9110 FAX: 931-551-9026 Email: mrye@workforceessentials.com </p> <p> Counties Served: Cheatham, Dickson, Houston, Humphreys, Montgomery, Robertson, Stewart, Sumner, & Williamson </p>

Area	Administrative Entity & WIA Contact
LWIA 9	<p>Paul Haynes, Executive Director The Nashville Career Advancement Center 621 Mainstream Drive, Suite 210 Nashville, TN 37228-1201 Office: 615-862-8890 ext. 77407 FAX: 615-862-8910 TDD: 1-800-848-0298 Email: paul.haynes@nashville.gov www-NCACWorkforce.org</p> <p>Counties Served: Davidson, Rutherford, Trousdale, & Wilson</p>
LWIA10	<p>Jan O. McKeel, Executive Director South Central Tennessee Workforce Alliance #8 Public Square, 2nd Floor Columbia, TN 38401 Office: 931-375-4201 FAX: 931-381-7643 Email: Jan.McKeel@sctworkforce.org</p> <p>Counties Served: Giles, Hickman, Lawrence, Lewis, Marshall, Maury, Perry & Wayne</p>
LWIA 11	<p>Mike Smith, Executive Director Southwest Human Resource Agency P. O. Box 264 1527 White Avenue Henderson, TN 38340-0264 Office: 731-989-5111 Cell: 731-608-1539 FAX: 731-989-3095 Email: msmith@swhra.org</p> <p>Counties Served: Chester, Decatur, Hardeman, Hardin, Haywood, Henderson, Madison, & McNairy</p>

Area	Administrative Entity & WIA Contact
LWIA11	<p> Jimmy Bell, WIA Director Southwest Human Resource Agency 1527 White Avenue Henderson, TN 38340 Office: 731-989-0533 Cell: 731-435-0728 FAX: 731-983-3149 Email: jbell@swhra.org </p>
LWIA 12	<p> Dr. Karen Bowyer, President Dyersburg State Community College 1510 Lake Road Dyersburg, TN 38024 Office: 731-286-3301 Fax: 731-286-3269 Email: kbowyer@dsc.edu </p> <p> Counties Served: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Lauderdale, Obion, Tipton & Weakley </p>
LWIA 12	<p> Margaret Prater, Executive Director Northwest TN Workforce Board 313 West Cedar Street Dyersburg, TN 38024 Office: 731-286-3585 ext. 16 Fax: 731-286-3584 TDD: 731-286-3584 Email: prater@nwtworks.org www-dscc.edu </p> <p> Counties Served: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Lauderdale, Obion, Tipton & Weakley </p>

Area	Administrative Entity & WIA Contact
LWIA13	<p>Desi Franklin, Executive Director WIN 22 N. Front Street Suite 1050 Memphis, TN 38103 Office: 901-576-6812 FAX: 901-576-6844 Cell: 901-237-0034 Email : desi.franklin@memphistn.gov</p> <p>Counties Served: Fayette & Shelby</p>
LWIA 13	<p>Henry Lewis, Deputy Director for Education & Training 22 N. Front Street Suite 1050 Memphis, TN 38103 Office: 901-576-6839 FAX: 901-576-6844 Cell: 901-493-9331 Email: henry.lewis@workforceinvestmentnetwork.com www.workforceinvestmentnetwork.com</p>

Tennessee Department of Labor & Workforce Development

220 French Landing Drive
Nashville, TN 37243-0658
Contact: Deputy Commissioner Alisa Malone
Title: Administrator, Division of Workforce Development
Phone: 615-741-0051
Fax: 615-741-3003
Workforce Help Line 1-800-255-5872
Email: alisa.malone@tn.gov
Website: <http://www.state.tn.us/laborwfd/index.html>

Tennessee Board of Regents

1415 Murfreesboro Road, Ste. 350
Nashville, TN 37217
(615) 366-4473

Tennessee AFL-CIO
Tennessee AFL-CIO
Technical Assistance Program
1901 Lindell Avenue
Nashville, TN 37203
(615) 383-6899

Adult Education
220 French Landing Drive, 4th Floor
Nashville, TN 37243-0658
(615) 741-7058

QUESTIONNAIRE

RATINGS

YES = This questions has been verified and agency has supporting documentations.

NO = This question has been verified, but agency has identify existing gaps. The agency will take steps to address internally, and/or will request technical assistance/instruction from state or applicable contact.

N/A = This question does not pertain to my agency/department/organization.

FISCAL QUESTIONNAIRE

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

WORKFORCE INVESTMENT MONITORING TOOL FISCAL QUESTIONNAIRE

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Have all of the LWIA's programs, which exceed \$500,000 in WIA funding, been audited during the past two years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to the audit report and the corrective action if any are on file with the administrative office.
2.	If so, have all audit reports been sent to grantor agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please cross-reference the LWIA administrative office and grantor agency for verification
3.	Does the LWIA annually authorize all bank accounts and check signatories?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify with current bank documentation of authorization and check signatories at LWIA and compare to TDLWD fiscal office
4.	Do adequate physical controls exist over cash receipts from the time of mail opening until the time of bank deposit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review past receipts and daily log of transactions/consult administrative staff for description of control process, and safeguards
5.	Is the cashing of checks out of currency receipts prohibited?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review past receipts and daily log of transactions/consult administrative staff
6.	Are checks prepared by specific employees who are independent of voucher/invoice approval?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Refer to list of employees authorized to prepare checks
7.	Do employees preparing checks compare all data on voucher?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review procedural task to employees designated as check preparers
8.	Are all checks, disbursement vouchers, or check requests approved for payment by the check signatory or other responsible employee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review list of employees designated as check signatory, and the procedural tasks assigned to this position
9.	Are reconciliations of bank statements made by someone other than person who participated in the receipt of disbursement of cash?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult individuals responsible for reconciliation of bank statements
10.	Are cancelled checks examined thoroughly for authorized signatures, alterations and irregular endorsements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff, accountants, review procedural tasks regarding cancelled checks

11.	Are completed bank reconciliations reviewed by a responsible official?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff to determine the qualifications of the individual responsible
12.	Are outstanding checks periodically investigated and payments stopped if necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff regarding procedures for outstanding checks
13.	Are disbursement vouchers involving payables checked against the purchase order and receiving report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff/ accountants regarding this procedure
14.	Are invoices properly marked to avoid duplicated payments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff/accountants regarding this procedure
15.	Does the organization have defined cutoff procedures, and are they continually monitored by the appropriate person?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff/accountants regarding this procedure
16.	Do accounting procedures, charts of accounting procedures, (charts of accounts, etc.) provide for identifying receipts and expenditures of program funds separately for each program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review accounting procedures with administrative staff and accountant
17.	Is there a documented time schedule for filing invoices and/or financial reports with grantors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review time schedule which should be provided by accountant or administrative staff
18.	Are reconciliations of grant invoices and /or financial reports with supporting accounting records prepared, reviewed and approved by responsible officials before filing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review accounting procedures with administrative staff and accountant
19.	Are grant invoices and draw-down requests submitted in accordance with terms specified in the contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please cross reference grant invoices with terms of contract, discuss with TDLWD
20.	Do invoices agree with the supporting financial records and ledgers maintained by the LWIA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review invoices and financial documentation
21.	Does a responsible official review costs charged to direct and indirect cost centers in accordance with applicable grant agreements and applicable federal management circulars pertaining to cost principles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff/accountant to verify the qualifications of individual designated for this responsibility
22.	If indirect cost is charged to WIA, is there an approved letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please request letter of approval from administrative staff

	on file from the cognizant agency?				
23.	Are time sheets maintained for any employees who work on more than one program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review time sheets of employees assigned to more than one program, for Labor Distribution
24.	Are the LWIA's depreciation policies or methods of computing use allowances in accordance with the standards outlined in federal circulars or WIA regulation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review LWIA depreciation policies
25.	Does the LWIA system have procedures that provide reasonable assurances that consistent treatment is applied in the distribution of charges as direct or indirect costs to all programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review procedures regarding distribution of direct/indirect charges
26.	Does the LWIA system have written personnel policies covering job descriptions, hiring procedures, promotions and dismissals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review LWIA's personnel policy
27.	Is access to personnel files limited?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult administrative staff to identify employees given access to personnel files review
28.	Is time keeping separated from payroll preparation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult administrative staff regarding these procedures
29.	Are formal attendance records used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult supervisory personnel regarding this responsibility
30.	Are formal attendance records reviewed and authorized by supervisory personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult supervisory personnel regarding this responsibility
31.	Are persons preparing payroll independent from other payroll duties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult accountant/payroll clerks regarding assigned duties
32.	Does someone independent of payroll preparation and time keeping review and approve the final payroll?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult accountant/payroll clerks regarding payroll preparation
33.	Are payroll checks pre-numbered, blank stock controlled, used in numerical sequence and numerical sequence accounted for and reconciled to the payroll check register?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult payroll clerk/accountant administrative staff responsible for payroll check register
34.	Do checks contain detail of gross pay and deductions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult payroll clerk, review blank check stub if possible
35.	Is a reconciliation of gross and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult payroll clerk on procedures regarding the net and gross pay

	net pay amounts shown on tax returns to total payroll on the payroll register and general ledger performed at least annually?				
36.	Are unclaimed checks returned to an employee independent of the payroll function?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult administrative staff regarding individual responsible for unclaimed checks reconciliation
37.	Are unclaimed payroll checks released only after presentation of proper identification by employees preparing a signed receipt?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please consult payroll clerks regarding this procedure
38.	Is a continuing record maintained of all unclaimed wages?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please confirm with payroll clerk regarding the maintenance of unclaimed wages
39.	Does a person independent of time keeping and preparing payroll checks or envelopes distribute the pay checks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult administrative staff/Payroll Clerk
40.	Is the total of W-2 wages for the year reconciled to the general ledger and payroll ledger wages paid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review general ledger and payroll ledger to verify wages
41.	Are deposits to the payroll bank account compared with the payroll register?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review procedure with payroll clerk and verify with payroll register
42.	Is the payment of wages in cash prohibited?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review LWIA policy on payment of wages/ consult payroll clerk
43.	Is the payment of wage ever made in advance of a scheduled payday?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult payroll clerk regarding payment of wage policy
44.	Are employees benefit matters monitored by individuals who are knowledgeable of the applicable legal, actuarial, and accounting requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review job and educational requirements of benefits administrator
45.	Is the purchasing function segregated from receiving and shipping functions, disbursing functions and cash receipt?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review financial procedures with accountant/administrative
46.	Are all purchases competitively bid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review purchase orders and verify the existence of several suppliers
47.	If the LWIA has subcontracts or other cooperative agreements with service providers, do the subcontracts have cooperative agreements to provide information, controls, and monitoring schedules to ensure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review subcontract agreements and ensure that the agreement contain compliance information and monitoring schedule.

	compliance with these provisions?				
48.	Does management enforce appropriate penalties for misappropriation or misuse of funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review management's policy regarding penalties for misuse of funds
49.	Does management provide personnel approving and pre-auditing expenditures with a list of allowable and unallowable expenditures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review allowable and unallowable list management provided to personnel
50.	Is there separate accountability for charges and costs between federal and nonfederal activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the accountability for cost and charges to federal and nonfederal activities
51.	Are adjustments to unallowable costs made where appropriate and follow-up action taken to determine the cause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if there are unallowable cost and if they have been corrected and followed up to avoid future occurrences
52.	Are duties adequately segregated for duties in review and authorization of costs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review staff assigned duties of reviewers of costs and cost authoring staff
53.	Have internal and external communication channels on activities and costs allowed been established?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to each contract agreement regarding activities and allowed costs
54.	Have formal or informal training programs been established to provide the knowledge and skills necessary to determine activities and costs allowed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to training manuals developed or training held for new subcontractors at the local level
55.	Is there interaction between management and staff regarding questionable costs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to communications between management and staff regarding questionable costs, if any
56.	Are grant agreements (including referenced program laws, regulations, handbooks, etc.) and cost principle circulars available to staff responsible for determining activities allowed and allowable costs under federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please see if the fiscal staff at the LWIA has the WIA Financial Supplementary Handbook or the One Stop Guide for reference and the WIA Law and regulations
57.	Does management review supporting documentation of allowable cost information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult with management team or responsible party for reviewing allowable costs
58.	Are comparisons with the budget and expectations of allowable costs made?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure used to compare budget and allowable cost
59.	Are analytical reviews and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review audit report

	audits performed?				
60.	Is the accounting system capable of scheduling payments for accounts payable and requests for funds from Treasury to avoid time lapse between drawdowns and actual disbursements of funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure used to avoid time lapse between draw-downs and actual disbursement of funds
61.	Is there variance reporting of expected versus actual cash disbursements of federal awards and drawdowns of federal funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if there are variances between cash disbursement and drawdown of federal funds
62.	Are there periodic independent evaluations (e.g., by internal audit, top management) of entity cash management, budget and actual results, repayment of excess interest earnings, and federal drawdown activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Check if evaluation has been made regarding cash management, budget and actual results, repayment of excess interest earnings, and federal drawdown activities
63.	Are contractors and subcontractors required by contract to submit certifications and copies of payrolls?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review contract terms or written procedures regarding certification and submission of payroll copies
64.	Are contractor and subcontractor payrolls monitored to ensure certified payrolls are submitted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the agreements and contract terms between contractor and subcontractor
65.	Are management reviews performed to ensure that contractors and subcontractors are properly notified of the Davis-Bacon Act requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the Davis-Bacon Act requirements.
66.	Are periodic audits of detailed transactions conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the audit report
67.	Are accurate records maintained on all acquisitions and dispositions of property acquired with federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check record kept on all acquired property and the record is up-to-date a copy has also been sent to TDLWD
68.	Are property tags placed on equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if all property acquired with federal funds is tagged
69.	Is a physical inventory of equipment periodically taken and compared to property records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please see the inventory listing of all equipment is up-to-date
70.	Are procedures established to ensure that the federal awarding agency is appropriately reimbursed for dispositions of	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procedure developed to ensure appropriate reimbursement for acquired property

	property acquired with federal awards?				
71.	Are policies and procedures in place for responsibilities of recordkeeping and authorities for disposition?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the policy for recordkeeping or interview fiscal management staff responsible for this duty
72.	Does the accounting system prevent obligation or expenditure of federal funds outside of the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the fiscal management staff about how they prevent expenditures from occurring outside the contract period
73.	Are channels of communication established for people to report suspected improprieties in the use or disposition of equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the management about how suspected improprieties of equipment are prevented
74.	Does management review the results of periodic inventories and follow-up on inventory discrepancies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the listing of inventory the management reviewed before forwarding a list to TDLWD
75.	Does management review property dispositions to ensure appropriate valuation and reimbursement to the federal awarding agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review management's property valuation and reimbursement
76.	Does the budgetary process consider the period of availability of federal funds as to both obligation and disbursement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the quarterly financial expenditure reports forwarded to the awarding agency
77.	Are the entity's operations such that it is unlikely there will be federal funds remaining at the end of the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review how the fiscal management assures that the federal funds received are expended before contract is closed
78.	Are disbursements reviewed by persons knowledgeable of the period of availability of funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview fiscal management or the appropriate staff
79.	Are unliquidated commitments canceled at the end of the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the directives of management to staff regarding un-liquidated commitments
80.	Are unliquidated balances periodically reported to the appropriate level of management, with follow-up?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if management has any decisions or directives for fiscal staff on un-liquidated balances
81.	Are periodic reviews of expenditures before and after cut-off dates performed to ensure compliance with period of availability requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review expenditure goals to ensure that funds have been expended before the ending dates of funding availability
82.	Does management perform	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review expenditures reports

	periodic reviews of reports showing budget and actual expenditures for a specified period?				provided to management for decision making
83.	Is board or governing body oversight required for high-dollar, lengthy, or other sensitive-procurement contracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the chain of command when acquiring sensitive items
84.	Is there clear assignment of authority for issuing purchasing orders and contracting for goods and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review duties of the fiscal staff
85.	Does the procurement manual incorporate federal requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procurement manuals of the sub-contractor
86.	Have procedures been established to identify risks arising from conflicts of interest, e.g., kickbacks, related-party transactions, bribery?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the conflict of interest policy of the sub-grantee and please check if staff is aware of this policy
87.	Are conflict of interest statements maintained for individuals responsible for procurement of goods and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check with staff responsible for this duty
88.	Is there an official written policy for suspension and debarment that: a. contains or references the federal requirements;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the disbarment and suspension policy if not, please check to see if any written document is provided to staff regarding this provision
	b. prohibits the award of a subaward, covered contract, or any other covered agreement for program administration, goods, services, or any other program purpose with any suspended and debarred party; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	c. requires staff to determine that entities receiving subawards of any value and procurement contracts equal to or exceeding \$25,000 and their principals are not suspended or debarred, or inserting a clause in the agreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
89.	Is the contractor's performance with the terms, conditions, and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if all contract terms and agreements are honored by the contractor

	specifications of the contract monitored and documented?				
90.	Are duties properly segregated between employees responsible for contracting and accounts payable and cash disbursing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the duties of employees in accounts payable and cash disbursement
91.	Do supervisors review procurement and contracting decisions for compliance with federal procurement policies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procurement procedures, or policy or manual the contract uses
92.	Are procedures established to verify that vendors providing goods and services under the award have not been suspended or debarred from federal procurement contracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procedure the contract uses to verify vendor's status
93.	Are procurement actions appropriately documented in the procurement files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check file and the documents to assure activities regarding procurements are documented
94.	Has a system been established to assure that procurement documentation is retained for the time period required by the A-102 Common Rule, OMB Circular A-110, award agreements, contracts, and program regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procurement procedures and verify if the rules for procuring goods and services are followed
95.	Does management periodically conduct independent reviews of procurements and contracting activities to determine whether policies and procedures are being followed as intended?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview management and find out if there are documents showing independent reviews of the financial system to ensure policies, etc. are followed
96.	Are mechanisms in place to ensure that program income is properly recorded as earned and deposited in the bank as collected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the quarterly financial reports submitted to the grantor
97.	Does management compare program income with the budget and investigate significant differences?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the involvement of management in this process
98.	Does management perform an internal audit of program income?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the involvement of management in this process
99.	Does management identify underlying source data or analysis that may not be reliable for performance or special reporting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the involvement of management in this process

100.	Is there a tracking system which reminds staff when reports are due?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if there is a tracking system alerting staff of due reports
101.	Is the general ledger or other reliable records the basis for reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the documents used for reporting
102.	Do supervisors review reports to assure the accuracy and completeness of data and information included in the reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if reports were provided to management or supervisors for their review
103.	Is the required accounting method used to prepare the reports (e.g., cash or accrual)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the accounting method
104.	Is there an established accounting or information system that provides for reliable processing of financial and performance information for federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the financial system's capability to process financial information for reporting purposes
105.	Do communications from contractors corroborate information included in the reports for federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
106.	Is there a periodic comparison of reports with supporting records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if financial reports have supporting documents
107.	Do subrecipients demonstrate that: a. They are willing and able to comply with the requirements of the award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if the sub-recipient is complying with the requirement of the contracts awarded
	b. They have accounting systems, including the use of applicable cost principles, and internal control systems adequate to administer the award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
108.	Do mechanisms exist to identify risks arising from external sources (e.g., economic conditions, political conditions, regulatory changes, unreliable information) affecting subrecipients?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the risk assessment management identified
109.	Do official written policies exist establishing: a. communication of federal award requirements to subrecipients;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the local policy established that covers the areas mentioned in 109 a, b, c, or d

	b. responsibilities for monitoring subrecipients;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	c. processes and procedures for monitoring;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	d. methodology for resolving subrecipient findings of subrecipient noncompliance or weaknesses in internal control; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	e. requirements for and processing of subrecipient audits, including appropriate adjustment of pass-through entity's accounts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
110.	Is the subrecipients' compliance with audit requirements monitored using techniques such as:				Same as above
	a. determining by inquiry and discussion whether the subrecipient met the threshold requiring an audit under OMB Circular A-133?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. if an audit is required, assuring that the subrecipient submits the report package or the documents required by the latest OMB circulars and/or the recipient's requirements;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	c. if a subrecipient was required to obtain an audit in accordance with OMB Circular A-133 but did not do so, following-up with the subrecipient and taking appropriate actions (withholding further funding) until the audit requirements are met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
111.	Has management identified for subrecipients the federal award information (e.g., CFDA title and number, award name, name of federal agency, amount of award) and applicable compliance requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review if the CFDA, title, number award amounts, etc. mentioned in question 111 is identified for contracts awarded
112.	Has management included in agreements with subrecipients the requirement to comply with the compliance requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review if management has provided and circulated the OMB Circular A-133 to staff to make them aware of A-133 Administrative Requirement

	applicable to the federal program including the audit requirements of OMB Circular A-133?				
113.	Is subrecipient's compliance with federal program requirements monitored using such techniques as the following: a. Issuing timely management decisions for audit and monitoring findings to inform the subrecipient whether the corrective action planned is acceptable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the monitoring techniques used by the sub-recipient and check which of items the procedure fulfills
	b. Maintaining a system to track and follow-up on reported deficiencies related to program funded by the recipient and ensuring that timely corrective action is taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	c. Maintaining regular contacts with subrecipients and making appropriate inquiries concerning the federal program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	d. Reviewing subrecipient reports and following-up on areas of concern?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	e. Monitoring subrecipient budgets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	f. Performing site visits to subrecipients to review financial and programmatic records and observe operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	g. Offering subrecipients technical assistance when needed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
114.	Do the standard award documents used by the nonfederal entity contain: a. A listing of federal requirements that the subrecipient shall follow (items can be specifically listed in the award document, attached as an exhibit to the document, or incorporated by	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the contract or agreements between the recipient and federal funds grantor have all of the criteria listed under (a) (b) and (c). Note: not all contracts will have these guidelines listed

	reference to specific criteria);				
	b. The description and program number for each program as stated in the Catalog of Federal Domestic Assistance (CFDA) Note: If the program funds include pass-through funds from another recipient, the pass-through program should be identified; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	c. A statement signed by an official of the subrecipient, stating that the subrecipient was informed of, understands, and agrees to comply with applicable compliance requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
115.	Is a recordkeeping system in place to assure that documentation is retained for the time period required by the recipient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the recordkeeping system of the recipient of federal funds
116.	Are procedures in place to provide channels for subrecipients to communicate concerns to the pass-through entity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure used to communicate concerns to sub-recipients
117.	Has a tracking system been established to assure timely submission of required reporting, such as: financial reports, performance reports, audit reports, on-site monitoring reviews of subrecipients, and timely resolution of audit findings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check with management or staff for a tracking system
118.	Are supervisory reviews performed to determine the adequacy of subrecipient monitoring?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview management or check written reviews by management about the financial monitoring at the sub-contractors level
119.	Is a current, fully executed, WIA contract along with all amendments at the LWIA administrative office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if contracts are kept at the administrative office

120.	Does the fully executed contract contain a Conflict of Interest clause pertaining to LWIA employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the policy regarding conflict of interest for staff dealing with fiscal matters
	If not, does the LWIA maintain written codes of conduct?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
121.	Does the LWIA have a documented system of contract administration which ensures that subcontractors perform within the terms of their subcontracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the contract terms and agreements made to sub-contractors

PROGRAM QUESTIONNAIRE (ADULT)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (ADULT)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the date of birth been verified and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, Social Security Card, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card
2.	If male, 18yrs & born after 1-01-60, has he registered for Selective Service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card, Selective Service website or Selective Service card
3.	Has the age and social security card been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card
4.	Is the date of application documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of e-CMATs page which contains WIA application date Alien Resident Card
5.	Has the participant & the case manager signed on the application?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Application signed by participant and case manager
6.	Has eligibility been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, Social Security Card, State ID, Birth Certificate, U.S. Passport, Permanent/ Alien Resident Card manager
7.	Has the Equal Employment Opportunity Statement been signed by the participant and the case manager?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form requires signature from participant and case manager
8.	Has the participant received core services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all core services provided Examples in TEGL 7-99
9.	Is there documentation to show that the participant did not find work after receiving core services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all intensive services and evidence that participant was unable to obtain employment after initial core service. Random participant files
10.	Has the Individual Employment Plan been developed after core services and is training linked to	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IEP requires signature from participant and case manager. Demand occupations should be provided within Local Plan

	demand occupation?				
11.	Is there documentation to show that one of these services has been provided to the participant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of intensive services and core services have been provided (e-CMATs form)
12.	If participant has disabilities, is the LWIA considering him as a family of one?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation showing funding amount and procedure used to determine amount
13.	Has attendance during training been properly documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attendance Records
14.	Are there case notes to demonstrate the progress of the participant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Case manager's notes providing evidence of participant's progress throughout services
15.	Does the ITA meet the LWIA's requirement for time duration and cost limitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Explanation of procedure for which funding amount was determined
16.	Does the provider of training services appear in the list of eligible training providers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review Training Providers list on E&T Web site
17.	Can the LWIA verify the participant has not met other grant requirements before WIA funding is made available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verification from educational institution, and/or copy of financial aid application, documentation of other funding sources
18.	How is the satisfactory progress of the participant in training documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review case manager participant's case notes
19.	Does the participant file contain documentation of grievance and complaint procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation and signature that the participant has received the grievance procedure
20.	For files that eCMATS indicates supplemental data is there is an auditable record in the file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all training services, employment verification for 1st, 2nd and 3rd quarters after exit
21.	Are core services and applicable Intensive services made available by the Career Center system to all of the following without eligibility requirements and regardless of the area of residency: <ul style="list-style-type: none"> ▪ All employers and job seekers ▪ Unemployment Insurance Claimants ▪ Veterans ▪ Migrant and seasonal farm-workers, and ▪ Individuals with disabilities? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
22.	Are there Employment Service Offices in the LWIA which are funded by WIA 1998 and not formally affiliated with the One-Stop system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Compare listing of all employment-services office with MOU policy and procedure

23.	Does the Career Center System have sufficient staff, equipment and oversight to deliver Core services and applicable Intensive services through: <ul style="list-style-type: none"> • Self Service • Facilitated self-service, and • Staff assisted service? (Are the necessary resources available? Back-up resources?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Visual confirmation (please note as an observation)
24.	Does the Career Center system have a documented procedure in place which ensures that staff provides UI claimants with: the opportunity for core services and applicable intensive services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
25.	Does the Career Center system have a documented procedure in place which ensures that staff: Receives information about UI claimants ability or availability of work offered to them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
26.	Does the Career Center system make intensive services available by the One-Stop operator, by contracts with service providers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review service providers' contracts
27.	Does the Career Center system have in place policies and procedures which ensure that One-Stop operators provide: <ul style="list-style-type: none"> • Coordinated resources and services for supportive 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
	<ul style="list-style-type: none"> • Services to assist adults and dislocated workers 				Same as above
	<ul style="list-style-type: none"> • Accurate information about the availability of supportive services in the LWIA, and 				Same as above
	<ul style="list-style-type: none"> • Referral to activities which provide supportive services? 				Same as above
28.	Does the LWIA system have policies and procedures in place which demonstrate that: <ul style="list-style-type: none"> • Follow-up services are included in IEPs 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy, procedure and random participant files

	<ul style="list-style-type: none"> Proposed monetary assistance during and throughout follow-up services are include in IEPs 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> Criteria used to provide support services to individuals who are employed and earning self-sufficient wages? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
29.	<p>Does the Career Center system have documentation that the One-Stop operator determines that:</p> <p>Participants need training services, and have the skills and qualifications to successfully complete a training program?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure, i.e., core first, employment search, intensive second, employment search, and then training. (Exceptions for IWT and Skill Shortage grants)
30.	Does the Career Center System have documentation which demonstrates that participants are determined to be eligible through state priority system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
31.	In the event of limited adult program funds in the LWIA (75% expended by end of 3rd quarter), does the Career Center system have records which show the accurate use of 'public assistance' or 'low income' adult eligibility per the HHS table of Lower Living Standard Income Levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure LWIA must provide funding expenditure information
32.	Does the LWIA have policies and procedures in place which ensure that a participant in a program shall not displace other employees:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
	<ul style="list-style-type: none"> Who are on layoff from similar jobs 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> Whom the employer has terminated with the intention of filling the position with subsidized and/or employees 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> Whose place for promotion is infringed upon? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
33.	Does the LWIA have in place policies and procedures regarding wage and labor standards, and health and safety standards that comply with WIA regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure

34.	<p>If the LWIA is providing prevocational services has the LWIA:</p> <ul style="list-style-type: none"> Developed a curriculum for computer-based learning that identifies the prevocational services offered 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policies, procedures, posters to inform customers
	<ul style="list-style-type: none"> Developed a mechanism to demonstrate sufficient 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> Provided a structured workspace and the ability to provide staff assistance? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
35.	Is there a criteria developed to target those most in need of training services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
36.	Does the LWIA system have documentation showing the follow-up services for a minimum of 12 months following the first day of employment, to registered participants who are placed in unsubsidized employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policies, procedures, random participant files. Ex: Case notes.
37.	Has the LWIA keyed in all WIA participants in the e-CMATs System?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check participants files and compare to information keyed in e-CMATs
38.	Does the LWIA have an employee who verifies data entered in e-CMATs for accuracy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview data entry person to verify accurate data entry
39.	Have formal or informal training programs been established to provide the knowledge and skills necessary to determine activities and costs allowed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation or notes that training has been provided to program staff on allowable activities
40.	Is there separate accountability for charges and costs between federal and nonfederal activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review journal entries made to federal and nonfederal grants and contracts
41.	Are there written policies to provide direction for making and documenting eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Eligibility policy for Dislocated workers and e-CMATs
42.	Are there procedures to calculate eligibility amounts that are consistent with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to find out if the subcontractor has a mechanism to calculate performance requirements
43.	Are eligibility objectives and procedures clearly communicated to employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if a memorandum was issued or other mechanism used to communicate with employees regarding

					the importance of accurate eligibility determination
44.	Are authorized signatures (manual or electronic) on eligibility documents periodically reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the participant has signed the eligibility form and the form is reviewed for accuracy
45.	Is access to eligibility records limited to appropriate persons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the records of participants are kept in a safe place
46.	Are manual criteria checklists or automated processes used in making eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the eligibility process is performed manually or electronically or both manual and electronic processes are used
47.	Is there an established process for periodic staffing of in accordance with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
48.	Is the information used in making eligibility determinations verified for accuracy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if eligibility process is checked by staff other than the person who determines eligibility
49.	Are there procedures to ensure the accuracy and completeness of data used to determine eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if the sub-contractor has a process to check the accuracy of participants eligibility
50.	Is eligibility processing subject to edit checks and balancing procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the subcontractor uses edit checks to make necessary changes to eligibility
51.	Are there training programs to inform employees of eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check dates, agenda or staff time used for training regarding eligibility
52.	Are channels of communication established for people to report suspected eligibility improprieties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the methods the recipient of WIA funds uses to ensure accurate eligibility determination
53.	Are eligibility determinations documented in accordance with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if the eligibility is determined according to the adult program specification
54.	Are periodic analytical reviews of eligibility determinations performed by management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
55.	Are program quality- control procedures performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the subcontractor has staff (fiscal and program quality control staff) designated to ensure all program requirements are accurate
56.	Are program managers provided with applicable requirements and guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if manuals with program guidelines are issued to train program managers including dates training was provided
57.	Are conflict of interest statements maintained for individuals responsible for determining eligibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if staff determining eligibility are aware of the provisions of "conflict of interest" when determining eligibility
58.	Does the LWIA prohibit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if EEO posters are

	discrimination based on race, sex or, age in its employment practices?				displayed in the reception area of the LWIA office, the career center or wherever WIA services are offered
59.	Is date of application captured in eCMATS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please confirm date through the e-CMATs
60.	Are any participants enrolled as underemployed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please confirm through the e-CMATs or the file of the participant
	If yes, is there documentation of wages being below self-sufficient wage est. by LWIA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please see if participant's file and documentation or check indicator or case notes
61.	Did the participants and case managers sign Equal Employment Opportunity Statement (English/Spanish), and is document maintained in participants files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check file of participant's and the EEO terms and participant's signatures
62.	If participant is exited, has appropriate follow-up been documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the case notes during follow-up
63.	Have all grant requirements been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review grant contract and content and actual services

PROGRAM QUESTIONNAIRE (DISLOCATED)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (DISLOCATED)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the date of birth been verified and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify date of birth date and see documentation in e-CMATs
2.	If male, 18yrs & born after 1-01-60, has he registered for Selective Service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review and verify the selective service registration
3.	Have the age and social security card been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, Social Security Card, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card, Selective Service website or Selective Service card
4.	Is date of WIA Application captured in eCMATS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of e-CMATs page which contains WIA application date
5.	Is the date of hard copy application documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Application signed by participant and case manager
6.	Has eligibility been verified?				Separation Notice, UI records, Public Announcement of layoff, etc.
	Dislocated A,B,C,D (documentation of):				
	a. Terminated or laid off, received notice of pending termination, is eligible or has exhausted Unemployment Compensation, demonstrated attachment to the workforce, but not eligible for UI due to insufficient earnings or employer not being covered, or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. Terminated or layoff due to permanent plant closure, facility has made announcement of closure in 180 days, or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Separation Notice, UI records, Public Announcement of layoff, etc.
	c. Once self-employed but unemployed due to economic conditions or disaster, or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	d. Displaced Homemaker?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Separation notice of spouse and a marriage certificate

7.	Did the participants and case managers sign Equal Employment Opportunity Statement (English/Spanish), and is document maintain in participants files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form requires signature from participant and the case manager
8.	Has the participant received core services, and are they documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all core services provided (Examples in TEGL 7-99) and case manager
9.	Is there documentation of Intensive Services that participants received?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all core services provided (Examples in TEGL 7-99) and case manager
	Is there documentation that after a core service was provided the participant was unable to obtain employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all intensive services and evidence that participant was unable to obtain employment after initial core service.
10.	Have Individual Employment Plans been developed after core services and is training linked to demand occupation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IEP requires signature from participant and case manager. Demand occupations should be provided within Local Plan
11.	Pell Coordination, Wilder- Naifeh, Hope, TSAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verification for educational institutional, and/or copy of financial aid application
12.	Has the sub-contractor developed an Individual employment plan (IEP) for its participants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if an employment development plan is established for each participant
13.	Has the sub-contractor followed the Individual employment plan (IEP) developed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if there was a follow-up to ensure the IEP is followed
14.	If participant has disabilities, is the LWIA considering him as a family of one?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation showing funding amount and procedure used to determine amount
15.	Has attendance during training been properly documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Attendance Records
16.	Are Case Notes in eCMATS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Case manager's notes providing evidence of participant's progress throughout services
17.	Does the ITA meet the LWIA's requirement for time duration and cost limitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review Training Providers list on E&T Web site.
18.	Can the LWIA verify the participant has not met other grant requirements before WIA funding is made available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verification from educational institution, and /or copy of financial aid application, documentation of other funding sources.
19.	How is the satisfactory progress of the participant in training documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review participant's case notes
20.	Does the participant file contain documentation of grievance and complaint procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form requires signature for participant and case manager
21.	For files that eCMATS indicates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all training services,

	supplemental data, is there is an auditable record in the file?				employment verification for 1 st , 2 nd and 3 rd quarters after exit
22.	Has the LWIA developed a policy for relocation assistance and the rationale for the policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
23.	Has the LWIA provided relocation assistance to any dislocated worker? If yes, is there a record documenting that the worker is receiving or will receive 75% of his previous wage in the new location of employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review relocation assistance documentation
24.	Has the LWIA followed state procedure for integrating WIA Title I funds and Pell Grant for dislocated workers who need classroom training activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure
25.	Has the LWIA provided information to new businesses in the area that want to provide OJT training to dislocated workers who need OJT?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review literature and feedback correspondence if available
26.	Are there written policies to provide direction for making and documenting eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the eligibility indicator marked in e-CMATs and in the file of the participant
27.	Are there procedures to calculate eligibility amounts that are consistent with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the mechanism the subcontractor uses to calculate performance requirements for the dislocated worker
28.	Are eligibility objectives and procedures clearly communicated to employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if a memorandum was issued or if other mechanisms were used to communicate with employees regarding the importance of accurate eligibility determination
29.	Are authorized signatures (manual or electronic) on eligibility documents periodically reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the participant has signed the eligibility form
30.	Is access to eligibility records limited to appropriate persons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the records of participants are kept in a safe area
31.	Are manual criteria checklists or automated processes used in making eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the eligibility is determined manually or is noted in e-CMATs or both manual and automated process are used
32.	Is there an established process for periodic staffing of in accordance with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
33.	Is the information used in making eligibility determinations verified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if eligibility process is checked by staff other than the person who determines eligibility

	for accuracy?				
34.	Are there procedures to ensure the accuracy and completeness of data used to determine eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the subcontractor has a process to check accuracy of participant's eligibility
35.	Is eligibility processing subject to edit checks and balancing procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the subcontractor uses the edit check to process eligibility determination
36.	Are there training programs to inform employees of eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see dates, agenda or staff time used for trainings regarding eligibility requirements
37.	Are channels of communication established for people to report suspected eligibility improprieties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see for a policy or memorandum issued regarding suspected eligibility improprieties
38.	Are eligibility determinations documented in accordance with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
39.	Are periodic analytical reviews of eligibility determinations performed by management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
40.	Are program quality control procedures performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
41.	Are program managers provided with applicable requirements and guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if program managers or fiscal managers are provided with training
42.	Are conflict of interest statements maintained for individuals responsible for determining eligibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if staff are aware of the conflict of interest
43.	Does the LWIA prohibit discrimination based on race, sex, or age in its employment practices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if EEO posters are posted and participants are made aware of EEO provisions
44.	Is date of application captured in eCMATS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please confirm if the date of application of a participants is captured in e-CMATs
45.	Does the provider of training services appear in the list of eligible training providers?				Please check to see if the sub contractors is approved on the training providers list (check the state's web-site.)
46.	Have all grant requirement been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if grant requirements are followed and that there was a follow up participants during program and after exit?
	If participant is exited, has appropriate follow-up been documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if grant requirements are followed and that there was a follow up participants during program and after exit
47.	Are any participants enrolled as underemployed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if participants are documented as under-employed

	If yes, is there documentation of wages being below self-sufficient wage est. by LWIA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the documentation used to check for self-sufficient wage
48.	If participant is exited, has appropriate follow-up been documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
49.	Have all grant requirements been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

PROGRAM QUESTIONNAIRE (YOUTH)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (YOUTH)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the date of birth been captured for all youth?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card
2.	If male 18yrs & born after 1-01-60, has he registered for Selective Service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card, Selective Service Website or Selective Service card
3.	Did LWIA verify age and social security number?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/ Alien Resident Card
4.	Is the date of WIA application captured in eCMATS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of e-CMATS page which contains WIA application date
5.	Did applicant and participant sign and date the application?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Application signed by participant and case manager
6.	Has eligibility been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the eligibility criteria used to verify eligibility
7.	Did the participants and case managers sign Equal Employment Opportunity Statement (English/Spanish), and is document maintained in participants files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the participant and the case managers have signed the EEO form
8.	Were Core Services provided to youth documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Document all of all core services provided
9.	Were Intensive Services provided to youth documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Document all of all training services and evidence that participant was unable to obtain employment after initial core service
10.	Have Individual Service Strategies been developed after core services and is training linked to demand occupation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IEP requires signature from participant and case manager. Demand occupations should be provided within Local Plan
11.	Was there coordination with Pell Grant before WIA services were provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verification for educational institutional, and/or copy of financial aid application
12.	If participant has disabilities, is the	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the documentation used for

	LWIA considering him as a family of one?				verifying disability
13.	Has attendance during training been properly documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify attendance records/case notes
14.	Are case notes being utilized?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Case manager's notes providing evidence of participant's progress throughout services
15.	Does the ITA meet the LWIA's requirement for time duration and cost limitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedure; request explanation of procedure for which funding amount was determined
16.	Does the provider of training services appear in the list of eligible training providers or contracted RFP process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review Training Providers list on E&T Web site or youth provider list
17.	Can the LWIA verify the participant has not met other grant requirements before WIA funding is made available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verification from educational institution, and/or copy of financial aid application, documentation of other funding sources (Pell, Wilder-Naifeh, Hope, TSAC)
18.	How is the satisfactory progress of the participant in training documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review participant's case notes
19.	Does the participant file contain documentation of grievance and complaint procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form requires signature for participant and case manager
20.	For files that eCMATS indicates supplemental data is there is an auditable record in the file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of all training services, employment verification for 1 st , 2 nd and 3 rd quarters after exit
21.	Did funds spent on youth determined not to be economically disadvantaged constitute more than five percent (5%) of the youth enrollees, by program year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the eligibility used to determine 5%
22.	Were providers of youth services obtained through a competitive procurement basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the providers list used by the subcontractor
23.	Do out of school youth meet the following criteria:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review e-CMATs/Discoverer Report/ random participant file eligibility
	A. School drop-out or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	B. High School Graduate that is	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	▪ Deficient in basic skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	▪ Unemployed or underemployed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
24.	Is 30 percent of youth funds going towards serving out-of-school population?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the allocation method used to ensure 30% of funds used to serve out-of-school, additional reference use e-CMATs/Discoverer Report
25.	What percentage of funds is being utilized to assist youth that do not	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review allocation expenditure analysis provided by LWIA accountant,

	meet income criteria? Maximum allowable is 5 percent.				cross reference with grant administrator
26.	Are all TEN required elements of Youth Program being made available in the Local Area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review LWIA's current plan, refer to literature and documentation provided by administrative office detailing with the required services that are available in the LWIA, provide listing of sub-contractors that are providing these elements
	A. Tutoring and study skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	B. Alternative school services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	C. Summer Employment Opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	D. Paid and unpaid work experiences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	E. Occupational skills training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	F. Leadership development opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	G. Support services (locally defined)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	H. Adult mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	I. Comprehensive guidance and counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	J. Follow-up?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
27.	Is the Youth Council meeting regularly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if a parent of a youth or a youth is represented in the youth council
	A. Is membership attending meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	B. Is there a quorum when contracts are approved and Request for Proposals (RFPs) are issued?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
28.	If the LWIA has youth participants with ITAs (Individual Training Accounts), are the participants: Age 18 and above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the age of youth for training approval

	Dually enrolled in the adult program or the dislocated worker program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the youth is enrolled in the adult program or dislocated worker program and verify eligibility for the DW has been met
	Does the LWIA use the state-wide waiver for older youth ITA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
29.	Does the LWIA system provide youth referrals for supportive services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the referral process used
30.	Does the LWIA system provide objective assessments for youth participants and work experiences for youth such as:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the file of youth to verify the stated activities on the left
	▪ Instruction in employability skills				
	▪ Exposure to the aspects of industry such as team work, internship, paid and unpaid community service, or job shadowing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
31.	Does the LWIA system include Youth Program components which include leadership, development opportunities, such as:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see youth file to ensure the six activities listed on the left have been provided as stated in the Individual Development <i>Plan Refer to Participant Files for documentation (case notes) – review completion certificates if available (IEP)</i>
	• Exposure to post-secondary education opportunities				
	• Community and service learning projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Peer-centered activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Team leadership training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Training in decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Citizenship training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
32.	Are there written policies to provide direction for making and documenting eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see eligibility indicator marked in e-CMATs and in the file of the participant
33.	Are there procedures to calculate eligibility amounts that are consistent with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the mechanism the subcontractor uses to calculate performance measures
34.	Are eligibility objectives and procedures clearly communicated to employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if memorandum were issued or other mechanisms was used to communicate to employees the importance of accurate eligibility determination

35.	Are authorized signatures (manual or electronic) on eligibility documents periodically reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the participant has signed the eligibility form
36.	Is access to eligibility records limited to appropriate persons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the records of participants are kept in a safe place
37.	Are manual criteria checklists or automated processes used in making eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if staff uses manual and auto eligibility process (auto e-CMATs and paper filed)
38.	Is there an established process for periodic staffing of in accordance with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the subcontractor has a process he or she uses to check the latest information regarding eligibility
39.	Is the information used in making eligibility determinations verified for accuracy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the subcontractor has used the most accurate information to determine eligibility
40.	Are there procedures to ensure the accuracy and completeness of data used to determine eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see what data was used to determine the accuracy of eligibility
41.	Is eligibility processing subject to edit checks and balancing procedures in the system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
42.	Are there training programs to inform employees of eligibility requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see dates, agenda or staff time used for training regarding eligibility
43.	Are channels of communication established for people to report suspected eligibility improprieties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see a policy or a memorandum issued regarding eligibility improprieties
44.	Are eligibility determinations documented in accordance with program requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if staff has an eligibility manual or guide to ensure accurate eligibility determination
45.	Are periodic analytical reviews of eligibility determinations performed by management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if management checks for eligibility inaccuracies
46.	Are program quality control procedures performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if there is a quality control staff to ensure program or fiscal reporting accuracies including requirements
47.	Are program managers provided with applicable requirements and guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if management provides guidelines regarding program requirements
48.	Are conflict of interest statements maintained for individuals responsible for determining eligibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if staff is aware of the provisions of the conflict of interest
49.	Does the LWIA prohibit discrimination based on race, sex or, age in its employment practices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if posters regarding EEO are posted in the offices where participants are served and welcomed

50.	Is date of application captured in eCMATS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the date of application to the WI program is captured in e-CMATs
51.	If participant is exited, has appropriate follow-up been documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the follow up has been conducted after exit and during program –case notes
52.	Has all grant requirements been verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see the process used by staff to verify that program requirements are met

PROGRAM QUESTIONNAIRE (INCUMBENT WORKER)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (INCUMBENT WORKER)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Does local contract contain a “Lobbying” clause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
2.	Does local contract have a “Nondiscrimination” clause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
3.	Does local contract have “Public Accountability” clause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
4.	Does local contract have a “Public Notice” clause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
5.	Does local contract have a “Records” clause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
6.	Has the participants been entered into e-CMATs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
7.	Has the approved training been completed as stated in application?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
8.	Has the number of full time employees to be trained been met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
9.	Has the company met all proposed fiscal obligations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
10.	Approved budget items are reimbursed upon presentation of adequate documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
11.	All training is complete prior to September 30 of the current program year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
12.	Has employer signed a Layoff Aversion Attestation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
13.	Has the LWIA gotten approval from the local board to use up to 10% of the Adult or dislocated worker funds for IWT & advised the state of such approval (<u>Local formula funding only</u>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
14.	Has the LWIA received final approval from the TN Department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms

	of Labor & workforce development (Local formula funding only)				
15.	When using Adult funds for incumbent worker the LWIA is restricted to serving lower-income being 200% of the lower Living Standard Levels (LLSIL). Is agency is compliance with this statement? (Local formula funding only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
16.	Has the LWIA used the current IWT application provided by Workforce Development? (Local formula funding only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
17.	Has the company provided documentation of the 50% match?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
18.	Has the company stayed within the \$25,000 cap?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms
19.	Has the LWIA completed the Incumbent Worker Application Review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to contract terms

PROGRAM QUESTIONNAIRE (JTG)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (JTG)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the Department accounted for 50% of the JTG eligible youth to be also WIA eligible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review with fiscal and program staff to see if 50% of the JTG students are eligible for the WIA program
2.	Does the JTG program have records which demonstrate the program's focus on:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review e-CMATs records or JTG files to verify that some of the activities on the list on the left have been provided to JTG/WIA eligible
	• Career Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Job attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Job survival	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Basic skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Leadership skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Self-development skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Personal skills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
3.	Are all ten required elements of the JTG program being made available in the local area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review files or e-CMATs to verify few or all the activities on the left have been provided to JTG students eligible for the WIA program
	• Tutoring and study skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Alternative schools services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Summer Employment Opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Paid and unpaid work experiences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Occupational skills training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Leadership development opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Support services (locally defined)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Adult mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Comprehensive guidance and counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above

	• Follow-up?				
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PROGRAM QUESTIONNAIRE (DEI)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (DEI)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the DEI grant recipient hired a full-time Disability Resource Coordinator leading the effort of this project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview management or contact the DEI lead in the local area
2.	Is the One Stop Center programmatically and physically communicative and conducive to the needs of a person with disability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify if the office where services are provided are accessible to people with disabilities
3.	Has the One-Stop in the area been designated as an Employment Net Work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview management and verify the agreement with SSI designating the CC as an Employment Net Work
4.	Has the DRC coordinated with other service providers and formed an Integrated Resource Team to meet the needs of a customer with a disability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify the existence of a Resource team and the minutes taken or verify with dates of meeting scheduled
5.	Have the services for people with disabilities been coordinated with other programs to meet all of the needs of the person with a disability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify the referral system established or the mechanisms used by the career center to refer a person with a disability to other service providers
6.	Does the contractor have policies and procedures in place to ensure that adults and youth with disabilities especially those who are ticket ticket-to-work holders, will be assisted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify with staff or management the number of people with disabilities with tickets assisted to find work or assisted with their special needs
7.	Has the person with a disability been assessed to determine his/her strength and interest?				Please review the Individual employment plan and record of referral of people with disabilities to employment services

	Does this person meet the requirements, identified by area businesses, for unsubsidized employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the Individual employment plan and record of referral of people with disabilities to employment services
8.	Is the LWIA capturing accurate and required data elements in eCMATS for persons with disabilities receiving WIA services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify in e-CMATs that the career center staff has recorded the data elements of people with disabilities in e-CMATs

PROGRAM QUESTIONNAIRE

(STATEWIDE & INCENTIVES)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (STATEWIDE AND INCENTIVES)**

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the contractor submitted quarterly reports on a timely basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify if the required quarterly reports for expenditures and obligations have been to TDLWD on a timely basis
2.	Is the LWIA collecting statewide information on eligible individuals in the eCMATS system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify if data for persons served by statewide funds are collected in e-CMATs
3.	Does the targeted population reach those who are underemployed, because of their lack of certification, or unemployed, but expect to become employed, as a result of their participation in the program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Has the contractor submitted quarterly reports on a timely basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify with management and check the required dates for submission of fiscal and program dates
5.	Is LWIA collecting statewide information on eligible individuals in the eCMATS system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.	If providing participant services, has the LWIA met the eligibility requirements of the target group to be served through the incentive grant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the incentive plans of the sub-grantee and check to see if the target group is served
7.	Are quarterly reports submitted in a timely manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please verify the quarterly reports submitted are timely
8.	If the quarterly expenditure goals have not been met, then has the contractor/LWIA provided an explanation in writing to the state in the quarterly report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.	Is the information regarding participant eligibility and services accurately keyed into eCMATS in a timely manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if the eligibility and services under statewide grants and incentive grants are keyed accurately in e-CMATs

PROGRAM QUESTIONNAIRE (NEG/TAA)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (NEG/TAA)**

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Is the LWIA making progress integrating services provided by TAA/NAFTA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review local plan, observe procedural process
2.	What is the procedure at the local level to respond to plant closures and mass layoffs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review local plan, and review documented procedural process
3.	Is the local rapid response coordinator submitting information on the rapid response activities in the area to the Employment and Training section of the TDLWD?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review records of rapid response activities; discuss with rapid response coordinator if available
4.	Are needs surveys distributed and collected before mass meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review surveys and discuss with local administrator/ rapid response coordinator
5.	Does the local rapid response system include in its response activities:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please discuss and review procedural process with local administrator/ rapid response coordinator
	• Immediate and on-site contact with the employer, workers, and the local community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	• Provision of information and access to	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Unemployment compensation benefits, One-Stop system services, and employment and training activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Guidance or financial assistance setting up a labor Management committee, or a committee, and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Provision of assistance to the local board to develop a coordinated response?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above

6.	Does the contractor have policies and procedures in place to ensure that individuals who apply for NEG services meet the following eligibility guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review policy and procedures
	• A dislocated worker				
	• A civilian employee of the Department of Defense	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Long-term unemployed as a result of disaster	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• A non-managerial employee with the Department of Defense	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• A member of armed forces at risk of termination due to reduction in defense expenditures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Not entitled to retired or retained pay incident to a separation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Has applied for employment and training assistance before the end of the 180 day period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
7.	Is the targeted population reached; underemployed, because of their lack of certification, or unemployed, but expect to become employed, as a result of their participation in the program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review local report; and consult with local administrator
8.	Does the LWIA system have documentation in place which demonstrates integration of services funded under TAA/NAFTA, with services funded under WIA Title I / Wagner-Peyser, as follows:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review documentation that demonstrates integration of services; observe procedural methods used in the LWIA system
	• Eligibility determinations				
	• Reemployment plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Job search allowance applications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Relocation allowance applications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Case Management, and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Training waiver options?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above

PROGRAM QUESTIONNAIRE (EEO)

Subrecipient: _____

Reviewer: _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (EEO)

	QUESTION	YES	NO	N/A	PARAMETERS
1.	Has the LWIA appointed its equal opportunity officer for WIA Title I services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verify name of staff with this responsibility, name identified on poster. Copy of letter to appointed staff
2.	Has the LWIA provided reasonable accommodation for persons with disability? If not, see #16.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verify for all sites included in sample
3.	Does the LWIA provide initial and continuing notice, using the required nondiscrimination language that it does not discriminate on any prohibited ground?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Posters, broadcast, RFPs, closed caption, etc.
4.	Does the LWIA publish or broadcast program information in the news media, and if so, does the LWIA indicate in the publications and broadcasts:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of articles, text for PSAs, or any other form of media, ie. newspaper article, examples, etc.
	<ul style="list-style-type: none"> That the WIA funded program or activity in question is an equal opportunity employer/program, and That auxiliary aids and services are available upon request to individuals with disabilities? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
5.	Has the LWIA applied the 4-Factor Analysis to its programs in order to determine how best to deliver language assistance to individuals who are Limited English Proficient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Written policy stating review of 4-Factor Analysis and conclusions

6.	If the 4-Factor Analysis indicates the need for language assistance services, does the LWIA have in place one or more of the following oral interpretation services:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review or process that LWIA follows. Example: "I speak..." cards.
	• Bi-lingual staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	• Staff interpreters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	• Contract interpreters, or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same a above
	• Telephone interpreter line?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same a above
7.	Do the LWIA's written translation procedures fall within the 'Safe Harbor' provisions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review text or analysis, documentation of census count
8.	Does the LWIA have policies and procedures in place which ensure that interpreters and/or interpreter services provide interpretations as follows:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review policies and procedures, listing of certified interpreters.
	• With demonstrated proficiency and ability to interpret in both English and the other language, and the ability to identify consecutive, summary, simultaneous, or sight interpretations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	• With knowledge of specialized terms and concepts of the program, and any specialized vocabulary or phrases used by the LEP person?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
9.	Does the LWIA have policies and procedures in place which ensure the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review policies and procedures, listing of certified interpreters, including payment statement
	• Those interpreters must certify that they will deliver interpretations that are accurate and not biased.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	• Those interpreters shall accept payment for services only from the LWIA and never from the client?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above

10	After applying the 4-Factor Analysis, and if the need for translation of vital documents is reasonable and necessary, does the LWIA provide written translations of :	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review documents and/or posters
	<ul style="list-style-type: none"> • Consent and complaint forms. 				
	<ul style="list-style-type: none"> • List of One-Stop partners and services offered. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Appeals documents. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Notices requiring a response from clients. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Information on the right to file complaints of discrimination. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Information on the provision of services to individuals with disabilities. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • State wage and hour and safety and health information, and • Notices of free language assistance? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
11	Does the LWIA have procedures and policies in place which ensure planning and development of:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of policies and procedures
	<ul style="list-style-type: none"> • Methods of identifying LEP individuals who need language assistance. 				
	<ul style="list-style-type: none"> • Training for staff on the available language services and how to use them. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Easily accessible and widely known notices of free language assistance. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Training staff on monitoring interpreter activity? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
12	Does the covered LWIA have policies, procedures, and auxiliary aids and services in place which ensure the reasonable and necessary delivery of program services to qualified handicapped individuals who have physical and/or mental impairments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of policies and procedures, all media, including videos, DVDs, etc

13	Does the covered LWIA have policies and procedures in place that ensure individuals with qualifying disabilities will be referred for auxiliary aids and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of policies and procedures.
14	Does the LWIA have in place communications devices, such as TTY or TDD, or equally effective communications system, for participants with hearing impairment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Visual confirmation for device or referral phone number.
15	If the LWIA has determined that the provision of accommodations would fundamentally alter the delivery of program, service, or activity, then does the LWIA have a written statement which details the reasons for reaching this conclusion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Statement or policy regarding analysis or resources
16	Does the LWIA have clearly visible signage at the primary entrances of each inaccessible facility that refers individuals with disabilities to information about accessible facilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Visual confirmation
17	Does the LWIA have the international symbol for accessibility at the primary entrances of each accessible facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Visual confirmation
18	Do the LWIA's published personnel policies and procedures prohibit the actions as defined in Section 37.11 of the implementing regulations: <ul style="list-style-type: none"> Intimidation and retaliation for filing a complaint or furnishing information regarding administration of a WIA-assisted program, service, or activity? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of policies and procedures for personnel.
19	Does the LWIA post approved nondiscrimination and equal opportunity complaint procedures and contact information in: <ul style="list-style-type: none"> Primary entrances. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review the signs posted in regards to EEO/ Non-Discrimination provisions
	<ul style="list-style-type: none"> Internal memoranda, hard copy and electronic. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above

	<ul style="list-style-type: none"> • Handbooks or manuals. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Made available to each participant and included in the participant's file. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<ul style="list-style-type: none"> • Made available, in appropriate formats, to individuals with visual impairments? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
20	Do the LWIA's orientations and other presentations to new employees, participants, employers and the general public include a discussion of the nondiscrimination and equal opportunity provisions applicable to WIA programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review internal memorandum to staff; manual published regarding nondiscrimination/EEO and other related provisions to train new staff Visual confirmation
21	Does the LWIA system have a complaint log which is used to record any complaints of discrimination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Visual confirmation
22	Does the LWIA have documentation to ensure that all OJT plans, contracts and other similar agreements are non-discriminatory and contain provisions regarding non-discrimination and equal opportunity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of documentation
23	How does the LWIA provide disability awareness training for designated staff at the one-stop center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Who, when and frequency of training
24	Has the contract agency received any discrimination complaints last fiscal year or during the current contract year? Explain.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of documents
25	What assurances of compliance have been signed by the agency? When and by who were they signed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of documents
26	What documentation does the agency keep as proof of its non-discriminatory status?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of documents and/or previous audit and corrective actions.

CROSS REFERENCE

(Note: OMB A-133 has a Supplement. This is updated yearly. All Grant recipients must comply with the new supplements.)

	Requirement	Governmental Organizations	Nonprofit Organizations	Institutions of Higher Education	Commercial Organizations
A.	Uniform Administrative Requirements	29 CFR Part 97	29 CFR Part 95	29 CFR Part 95	29 CFR Part 95 (grants only)
B.	Pre-Award Requirement/After the Award Requirement	29 CFR Part 97.10-12 29 CFR Part 97.50-52	29 CFR Part 95.10-17 29 CFR Part 95.70-73	29 CFR Part 95.10-17 29 CFR Part 95.70-73	
C.	Period of Availability and Fund	29 CFR Part 97.23	29 CFR Part 95.28	29 CFR Part 95.28	
D.	Procurement	29 CFR Part 97.36	29 CFR Part 95.40-48	29 CFR Part 95.40-48	
E.	Allowable/Unallowable Costs	A-87 Attachment A 29 CFR Part 97.22	A-122 Att. A 29 CFR Part 95.27	A-21 Section C 29 CFR Part 95.27	48 CFR 31.201- 204
F.	Allowable/Unallowable Activities	A-133	A-133	A-133	
G.	Treatment of Selected Items of Cost	A-87 Attachment B	A-122 Attachment B	A-21 (J)	48 CFR 31.205
H.	Cash Management	29 CFR Part 97.20.21	29 CFR Part 95.20-23	29 CFR Part 95.20-23	
I.	Program Income	29 CFR Part 97.25	29 CFR Part 95.24	29 CFR Part 95.24	
J.	Equipment	29 CFR Part 97.32-33	29 CFR Part 95.34-36	29 CFR Part 95.34-36	
K.	Matching, Level of Effort, Earmarking	29 CFR Part 97.24	29 CFR Part 95.20-23	29 CFR Part 95.20-23	
L.	Real Property Acquisition and Relocation Assistance	29 CFR Part 97.31	29 CFR Part 95.30-37	29 CFR Part 95.30-37	
M.	Lobbying Restrictions	29 CFR Part 93	29 CFR Part 93	29 CFR Part 93	29 CFR Part 93
N.	Suspension and Debarment	29 CFR Part 98 (A-E) 29 CFR 97.35	29 CFR Part 98 (A-E) 29 CFR 95.13	29 CFR Part 98 (A-E) 29 CFR 95.13	29 CFR Part 98 (A-E)
O.	Eligibility	A-133	A-133	A-133	
P.	Drug-Free	29 CFR Part 98 (F)	29 CFR Part 98	29 CFR Part 98	29 CFR Part

	Workplace		(F)	(F)	98 (F)
Q.	Non-Discrimination (Civil Rights)	29 CFR Part 31	29 CFR Part 31	29 CFR Part 31	29 CFR Part 31
R.	Non-Discrimination (Basis of Handicap)	29 CFR Part 32	29 CFR Part 32	29 CFR Part 32	29 CFR Part 32
S.	Age Discrimination of 1975	29 CFR Part 35	29 CFR Part 35	29 CFR Part 35	29 CFR Part 35
T.	EO Requirements (WIA only)	29 CFR Part 37	29 CFR Part 37	29 CFR Part 37	29 CFR Part 37
U.	Reporting	29 CFR Part 29 CFR Part 97.40-42	29 CFR Part 29 CFR Part 95.50-53	29 CFR Part 29 CFR Part 95.50-53	
V.	Audit/Monitoring	29 CFR Part 99	29 CFR Part 99 29 CFR Part 95.5	29 CFR Part 99 29 CFR Part 95.5	29 CFR Part 96

Fiscal References

(Note: Also Fiscal Questionnaire can be referenced in the One-Stop Comprehensive Financial TA Guide July 2002)

1. 31 USC sec. 7502; OMB Cir. A-133
2. 31 USC sec. 7502; OMB Cir. A-133
3. 29 CFR §95.21 29; CFR §97.20
4. 29 CFR §95.21 29; CFR §97.20
5. 29 CFR §95.21 29; CFR §97.20
6. 29 CFR §95.21 29; CFR §97.20
7. 29 CFR §95.21 29; CFR §97.20
8. 29 CFR §95.21 29; CFR §97.20
9. 29 CFR §95.21 29; CFR §97.20
10. 29 CFR §95.21 95; CFR §97.20
11. 29 CFR §95.21 29; CFR §97.20
12. 29 CFR §95.21 29; CFR §97.20
13. 29 CFR §95.21 29; CFR §97.20
14. 29 CFR §95.21 29; CFR §97.20
15. 29 CFR §95.21 29; CFR §97.20
16. 29 CFR §95.21 29; CFR §97.20
17. 29 CFR §95.21 29; CFR §97.20
18. 29 CFR §95.21 29; CFR §97.20
19. 29 CFR §95.21 29; CFR §97.20
20. 29 CFR §95.21 29; CFR §97.20; OMB Cir. A-122
21. 29 CFR §95.21 29; CFR §97.20; OMB Cir. A-122
22. OMB A-87; OMB A-133; 20 CFR 667.220
23. 29 CFR §95.21 29; CFR §97.20; OMB Cir. A-122
24. 29 CFR §95.21 29; CFR §97.20; OMB Cir. A-122
25. 29 CFR §95.21 29; CFR §97.20; OMB Cir. A-122
26. One-Stop Comprehensive Financial TA Guide July 2002
27. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
28. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
29. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
30. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
31. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
32. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
33. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
34. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
35. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
36. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
37. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
38. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
39. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
40. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
41. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
42. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
43. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
44. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122

45. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
46. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
47. 29 CFR §95.21; 29 CFR §97.20; OMB Cir. A-122
48. OMB Cir. A-133; 29 CFR § 95
49. OMB Cir. A-133
50. OMB Cir. A-133; 29 CFR § 97
51. OMB Cir. A-133; OMB Cir. A-87 Attachment A
52. 29 CFR § 95; 29 CFR § 97
53. OMB Cir. A-133; OMB Cir. A-87 Attachment A
54. OMB Cir. A-133; OMB Cir. A-87 Attachment A
55. OMB Cir. A-133; OMB Cir. A-87 Attachment A; 29 CFR § 99
56. OMB Cir. A-133; OMB Cir. A-87 Attachment A
57. OMB Cir. A-87 Attachment A
58. OMB Cir. A-133; OMB Cir. A-87 Attachment A; 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
59. OMB Cir. A-133; 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
60. OMB Cir. A-133; 29 CFR § 95; 29 CFR § 97
61. 29 CFR § 95; 29 CFR § 97
62. 29 CFR § 95; 29 CFR § 97
63. 29 CFR § 95; 29 CFR § 97; -87 Attachment A
64. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99; OMB Cir. A-133;
65. 29 CFR § 95; 29 CFR § 97
66. 29 CFR § 99
67. 29 CFR § 95; 29 CFR § 97
68. 29 CFR § 95; 29 CFR § 97
69. 29 CFR § 95; 29 CFR § 97
70. 29 CFR § 95; 29 CFR § 97
71. 29 CFR § 95; 29 CFR § 97
72. 29 CFR § 95; 29 CFR § 97
73. 29 CFR § 95; 29 CFR § 97; 29 CFR § 98
74. 29 CFR § 95; 29 CFR §97
75. 29 CFR § 95; 29 CFR § 97
76. 29 CFR § 95; 29 CFR § 97
77. 29 CFR § 95; 29 CFR § 97
78. 29 CFR § 95; 29 CFR § 97
79. 29 CFR § 95; 29 CFR § 97
80. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
81. 29 CFR § 95; 29 CFR § 97
82. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
83. 29 CFR § 95; 29 CFR § 97
84. 29 CFR § 95; 29 CFR § 97
85. 29 CFR § 95; 29 CFR § 97
86. 29 CFR § 95; 29 CFR § 97
87. 29 CFR § 95; 29 CFR § 97
88. 29 CFR § 95; 29 CFR § 97; 29 CFR § 98
89. 29 CFR § 95; 29 CFR § 97
90. 29 CFR § 95; 29 CFR § 97
91. 29 CFR § 95; 29 CFR § 97
92. 29 CFR § 95; 29 CFR § 97; 29 CFR § 98
93. 29 CFR § 95; 29 CFR § 97
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100. 29 CFR § 95; 29 CFR § 97
101. 29 CFR § 95; 29 CFR § 97
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104. 29 CFR § 95; 29 CFR § 97
105. 29 CFR § 95; 29 CFR § 97
106. 29 CFR § 95; 29 CFR § 97
107. 29 CFR § 95; 29 CFR § 97
108. 29 CFR § 95; 29 CFR § 97
109. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
110. OMB Cir. A-133
111. 29 CFR § 95; 29 CFR § 97
112. OMB Cir. A-133
113. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
114. OMB Cir. A-133; 29 CFR § 95; 29 CFR § 97
115. OMB Cir. A-133; 29 CFR § 95; 29 CFR § 97
116. OMB Cir. A-133; 29 CFR § 95; 29 CFR § 97
117. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
118. 29 CFR § 95; 29 CFR § 97; 29 CFR § 99
119. 29 CFR § 95; 29 CFR § 97
120. 29 CFR § 95; 29 CFR § 97
121. 29 CFR § 95; 29 CFR § 97

Program References – Adult

1. eCMATS WIA Program Manual TEGL 7-99 TEGL 3-03, Chg 3
2. WIA sec 185 (a)(1) WIA sec 189 (h) TEGL 7-99
3. eCMATS WIA Program Manual TEGL 3-03, Chg 3
4. eCMATS WIA Program Manual TEGL 3-03, Chg 3
5. eCMATS WIA Program Manual TEGL 3-03, Chg 3
6. eCMATS WIA Program Manual
7. WIA sec 185 (a)(1) E & T 04-27
8. 29 U.S.C. 49b 20 CFR 652.202 (a) E&T Memo 00-01 TEGL 7-99
9. 29 U.S.C. 49b 20 CFR 652.202 (a) E&T Memo 00-01 TEGL 7-99
10. WIA T.A. Manual Sept. 2005
11. 20 CFR. 663.320 E&T Memo 00-01 E&T Policy 04-27
12. 20 CFR 663.640
13. eCMATS WIA Program Manual
14. eCMATS WIA Program Manual T.A. Manual September 2005 WIA 185 (a)(1)
15. Local Board policy statement
16. See Training Providers access button on E&T Website: www.ja.state.tn.us/thec/cbjt/PgSrchEng.jsp
17. E&T Memo # 00-17
18. WIA sec. 185(a)(1)
19. E&T Memo # 00-6
20. TEGL 7-99
21. 29 U.S.C. 49b 662.240; E&T Memo 00-10
22. 20 CFR 652.202 (a)
23. 20 CFR 652.207 (b)(2)(I)-(iii)
24. 20 CFR 652.210(b)(1)-(2)
25. 20 CFR 652.210 (b)(3)
26. 20 CFR 663.100 (b)(2)
27. 20 CFR 663.800; WIA sec. 134 (d)(2)(H)
28. 20 CFR 663.150 (b)
29. 20 CFR 663.310 (b)
30. WIA T.A. Manual, September 2005 E&T 00-11
31. 20 CFR 663.600(a); WIA sec. 134 (d)(4)(E); E&T Memo 05-29
32. 20 CFR 667.270 (c) (1)-(3)
33. 20 CFR 667.272, 667.274
34. E&T Memo 02-01 Change 1; E&T Memo 02-21 Change 1
35. WIA T.A. Manual September 2005
36. 20 CFR 663.150 (b)
37. eCMATs WIA Program Manual; WIA Memorandum Number E&T 00-09
38. eCMATs WIA Program Manual; TEGL 3-03 Change 3
39. OMB Cir. A-133; 29 CFR § Part 97.22; 29 CFR § Part 95.27
40. OMB Cir. A-133; 29 CFR § Part 97.22; 29 CFR § Part 95.27
41. 20 CFR 663.110
42. 20 CFR 663.110; WIA Memorandum Number E&T 00-10
43. 20 CFR 663.110; WIA Memorandum Number E&T 00-10
44. 20 CFR 663.110; Workforce Investment Act Memorandum Number 12-49
45. 20 CFR 663.110; Workforce Investment Act Memorandum Number 12-49
46. 20 CFR 663.110
47. eCMATs WIA Program Manual; 20 CFR 663.110
48. TEGL 3-03, Change 3

- 49. TEGL 3-03, Change 3
- 50. 20 CFR 663.110; TEGL 3-03, Change 3
- 51. 20 CFR 663.110
- 52. 20 CFR 667.600 (b); WIA Memorandum Number E&T 10-45
- 53. 20 CFR 663.110; TEGL 3-03, Change 3
- 54. 20 CFR 663.110; TEGL 3-03, Change 3
- 55. 20 CFR 663.110; TEGL 3-03, Change 3
- 56. 20 CFR 663.110; TEGL 3-03, Change 3; Technical Assistance Manual
- 57. 20 CFR 663.110; TEGL 3-03, Change 3; 29 CFR § Part 95.42; 29 CFR § Part 97.36
- 58. 29 CFR Part 97.37
- 59. eCMATs WIA Program Manual
- 60. WIA Memorandum Number E&T 10-45
- 61. WIA sec 185 (a)(5)
- 62. WIA Memorandum Number E&T 12-52
- 63. TEGL 3-03 Change 3; 29 CFR § 95; 29 CFR § Part 97

Program References – Dislocated Worker

1. eCMATS WIA Program Manual; TEGL 17-05; WIA DRVS 8/07
2. WIA sec 185 (a)(5) WIA sec 189 ;TEGL 17-05; WIA DRVS 8/07
3. eCMATS WIA Program Manual; TEGL 17-05; WIA DRVS 8/07
4. eCMATS WIA Program Manual; TEGL 17-05; WIA DRVS 8/07
5. eCMATS WIA Program Manual; TEGL 17-05; WIA DRVS 8/07
6. eCMATS WIA program Manual; TEGL 3-03, Chg3; TEGL 17-05; WIA DRVS 8/07
7. WIA sec 185 (a)(5)
8. 29 U.S.C. 49b; 20 CFR 652.202 (a); E&T Memo 00-01
9. 29 U.S.C. 49b; 20 CFR 652.202 (a); E&T Memo 00-01
10. WIA T.A. Manual Sept. 2005
11. 20 CFR. 663.320; E&T Policy 04-27
12. WIA T.A. Manual Sept. 2005
13. WIA T.A. Manual Sept. 2005
14. 20 CFR 663.640 ; TEGL 17-05; WIA DRVS 8/07
15. eCMATS WIA Program Manual
16. eCMATS WIA Program Manual; TEGL 17-05; WIA DRVS 8/07
17. Local Board policy statement
18. E&T Memo #00-17
19. WIA Sec. 185 (a)(1)
20. E&T Memo #00-06
21. E&T Memo # 00-17
22. E&T Memo 00-03
23. E&T Memo 00-03
24. E&T Memo 00-17
25. E&T Memo 01-18
26. 20 CFR 663.115
27. 20 CFR 663.115
28. 20 CFR 663.115
29. 20 CFR 663.115
30. 20 CFR 663.115; WIA Memorandum Number E&T 12-49
31. 20 CFR 663.115; TEGL 3-03 Change 3
32. WIA Memorandum number 00-01; 20 CFR 663.115
33. 20 CFR 663.115; TEGL 3-03 Change 3
34. 20 CFR 663.115; TEGL 3-03 Change 3
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36. 20 CFR 663.115; TEGL 3-03 Change 3
37. 20 CFR 667.600 (b); 20 CFR 663.115; WIA Memorandum Number E&T 10-45
38. 20 CFR 663.115; TEGL 3-03 Change 3; WIA Memorandum Number E&T 00-01
39. 20 CFR 663.115; TEGL 3-03 Change 3
40. 20 CFR 663.115; TEGL 3-03 Change 3
41. 20 CFR 663.115; TEGL 3-03 Change 3
42. 29 CFR Part 95.42; 29 CFR Part 97.36; 20 CFR 663.115; TEGL 3-03 Change 3, Technical Assistance Manual
43. 29 CFR § Part 37
44. e-CMATs WIA Program Manual
45. WIA 134(d)(4)(F)
46. 20 CFR 663.115, TEGL 3-03 Change 3
47. WIA Memorandum Number E&T 12-52

- 48. TEGL 3-03 Change 3, WIA Memorandum Number E&T 03-24
- 49. TEGL 3-03 Change 3; 29 CFR 95; 29 CFR § Part 97

Program References – Youth

1. eCMATS WIA Program Manual; TEGL 7-99
2. WIA sec 185 (a)(5) WIA sec 189; TEGL 7-99
3. eCMATS WIA Program Manual; TEGL 7-99
4. eCMATS WIA Program Manual
5. eCMATS WIA Program Manual
6. eCMATS WIA program Manual 2002
7. WIA sec 185 (a)(5); E & T Policy 04-27
8. 29 U.S.C. 49b; 20 CFR 652.202 (a); E&T Memo 00-01
9. 29 U.S.C. 49b; 20 CFR 652.202 (a); E&T Memo 00-01
10. WIA T.A. Manual Sept. 2002
11. 20 CFR. 663.320
12. 20 CFR 664.250; TEGL 3-03 Change 3
13. eCMATS WIA Program Manual
14. eCMATS WIA Program Manual WIA 185 (a)(1)
15. Local Board policy statement
16. See Training Providers access button on E&T Website: www.ja.state.tn.us/thec/cbjt/PgSrchEng.jsp
17. E&T Memo # 01-17
18. WIA sec. 185(a)(1)
19. E&T Memo # 00-6
20. TEGL 7-99
21. E&T Memo 00-02 20 CFR 664.220
22. 20CFR 652.207 (b)(2)(I)-(iii)
23. WIA TA Manual September 2005; ECMATs Program Manual/or 20 CFR 664.300
24. WIA TA Manual September 2005; E&T Memo 02-19 or WIA 664.310
25. WIA TA Manual September 2005; 20 CFR 664.220
26. WIA TA Manual September 2005; 20 CFR 664.410
27. 20 CFR 664 Subpart A
28. 20 CFR 664.510
29. WIA Sec. 129 (2) (G)
30. 20 CFR 664.460
31. WIA Sec. 129.(c)(2)(F 20 CFR 664.420);
32. 20 CFR 664 Subpart B; WIA Memorandum Number E&T 02-19; WIA Memorandum Number E&T 00-07
33. 20 CFR 664 Subpart B; WIA Memorandum Number E&T 02-19; WIA Memorandum Number E&T 00-07
34. 20 CFR 664 Subpart B; WIA Memorandum Number E&T 02-19; WIA Memorandum Number E&T 00-07
35. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
36. TEGL 3-03 Change 3; 20 CFR 664 Subpart B; WIA Memorandum Number E&T 12-49
37. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
38. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
39. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
40. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
41. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
42. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
43. WIA Memorandum Number E&T 10-45
44. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
45. TEGL 3-03 Change 3; 20 CFR 664 Subpart B

- 46. TEGL 3-03 Change 3; 20 CFR 664 Subpart B
- 47. TEGL 3-03 Change 3; 20 CFR 664 Subpart B; Technical Assistance Manual; eCMATs WIA Program Manual
- 50. 29 CFR § Part 95.42; 29 CFR § Part 97.36; TEGL 3-03 Change 3; Technical Assistance Manual
- 51. 29 CFR Part 95.42; 29 CFR Part 97.36; 20 CFR 663.115; TEGL 3-03 Change 3, Technical Assistance Manual
- 52. 29 CFR § Part 37
- 53. eCMATS WIA Program Manual
- 54. TEGL 3-03 Change 3, WIA Memorandum Number E&T 03-24
- 55. TEGL 3-03 Change 3; 29 CFR 95; 29 CFR § Part 97

Program References – Incumbent Worker

References for the Incumbent Worker Questionnaire must follow the Incumbent worker contract terms and agreement.

Program References – JTG

1. Current Contract
2. JTG Program Handbook Current Contract
3. 20 CFR 664.410; WIA T.A. Manual, September 2005

Program References - DEI

1. SGA/DFA PY-10-14 Page 6
2. SGA/DFA PY-10-14, Page 7#3
3. SGA/DFA PY-10-14, Page 7#4
4. SGA/DFA PY-10-14, Page 9#1
5. SGA/DFA PY-10-14, Page 10#1
6. SGA/DFA PY-10-14, Page C 1.5
7. SGA/DFA PY-10-14, Page 10 #3
8. SGA/DFA PY-10-14, Page 8 #6

Program References – Statewide & Incentives

1. State Plan; Subrecipient Monitoring Guide
2. State Plan; TA Manual, September 2005
3. State Plan
4. State Plan; Subrecipient Monitoring Guide
5. State Plan; TA Manual, September 2005
6. State Plan
7. E&T Policy, 02-23
8. E&T Policy, 02-23
9. WIA TA Manual September 2005; ECMATS Program Manual

Program References – NEG/TAA

1. E&T Memo, 00-04
2. E&T Memo, 00-12 Change 1; 20 CFR 671.160; State Plan
3. E&T Memo, 00-15
4. E&T Memo 01-15
5. 20 CFR 665.310 (a)-(d)
6. WIA sec 173 (c)(2)(A)(i-iv); WIA sec 173 (d)(2)
7. E&T Memo, 00-12
8. E&T Guidance Letter 5-00; E&T Memo 00-12 Change 1

Program References – EEO

1. E&T Memo #00-05; 29 CFR 37.23-31
2. 20 CFR 662.200 (b)(4)(9); ADA 1990 503/504; 29CFR 37.4
3. 29 CFR 37.29-30
4. 29 CFR 34.24
5. Federal Register, May 2003; Civil Rights Title VI; Dept. of Justice – National Origin
6. Federal Register, May 2003; Department of Justice – National Origin
7. Federal Register, May 2003
8. Federal Register, May 2003; Department of Justice – National Origin
9. Federal Register, May 2003; Department of Justice – National Origin
10. Federal Register, May 2003; Department of Justice – National Origin
11. Federal Register, May 2003
12. Rehabilitation Act of 1973 Section 504; 29 CFR 37.4 (1-4)
13. 29 CFR 37.9 (d)
14. 29 CFR 37.9 (a)-(d)
15. 29 CFR 37.9 (f)(1)-(3)
16. 29 CFR 37.9 (e)(1)
17. 29 CFR 37.9 (e)(2)
18. 29 CFR 37.11 (a)
19. 29 CFR 37.31 (a)(b)
20. 29 CFR 37.36
21. 29 CFR 37.37
22. WIA Section 188
23. 29 CFR 37.54; TN DOP policy 4/14/04 Advisory memorandum #3
24. WIA Section 188; 29 CFR 37
25. 29 CFR 37.20
26. 29 CFR 37

SELECTED DEFINITIONS AND ACRONYMS

Abstract: Summarizes the purpose, importance and scope of the proposed project.

Accessibility: The extent to which programs or services can be reached or obtained by those who want or need them.

Accrual: The method of recording revenues in the period in which they are earned, regardless of when cash is received, and reporting expenses in the period when the charges are incurred, regardless of when payment is made.

Accrued expenditures: The charges incurred by the grantee during a given period requiring the provision of funds for (1) goods and other tangible property received; (2) services performed by employees, contractors, sub-grantees, subcontractors, and other payees; and (3) other amounts becoming owed (by the grantee) under programs for which no current services or performance is required, such as annuities, insurance claims, and other benefit payments. [29 CFR 95.2] [29 CFR 97.3]

Accrued income: Sum of: (1) earnings during a given period from (i) services performed by the recipient, and (ii) goods and other tangible property delivered to purchasers; and (2) amounts becoming owed to the recipient for which no current services or performance is required by the recipient. [29 CFR 95.2] [29 CFR 97.3]

Activity: The functional elements of a program.

Acquisition cost of equipment: The net invoice price of the equipment, including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the property usable for the purpose for which it was acquired. Other charges, such as the cost of installation, transportation, taxes, duty or protective in-transit insurance, shall be included or excluded from the unit acquisition cost in accordance with the recipient's regular accounting practices. [29 CFR 95.2] [29 CFR 97.3]

Act. For the purposes of this TAG, Act means the Workforce Investment Act (WIA). If another legislative act is referenced, it will include the entire proper name of the legislation.

Administrative Action: A post-award administrative request to modify the conditions of the original grant. An administrative action may be monetary or non-monetary and may require prior approval from the Department.

Administrative Costs are all direct and indirect costs associated with the management of grant programs. They often are capped by the grantor at a certain percentage of the grant.

Administrative requirements: Those matters common to grants in general, such as financial management, types and frequency of reports, and retention of records. These are distinguished from *programmatic* requirements, which concern matters that can be treated only on a program-by-program or grant-by-grant basis, such as kinds of activities that can be supported by grants under a particular program. These are the uniform administrative requirements codified at OMB Circular A-102 and A-110. OMB Circular A-102 is also referred to as the common rule. [29 CFR 97.3]

Adult. Except in Sections 127 and 132, the term “adult” means an individual who is age 18 or older. [WIA Section 101]

Adult education; adult education and literacy activities. The terms “adult education” and “adult education and literacy activities” have the meanings given the terms in Section 203. [WIA Section 101]

Advance: A payment made by Treasury check or other appropriate payment mechanism to a recipient upon its request either before outlays are made by the recipient or through the use of predetermined payment schedules. [29 CFR 95.2]

Allowable costs are expenditures under a grant project that are specifically permitted (or not specifically prohibited), by law, regulation, or guidance from the Office of Management and Budget, Federal accounting standards, or other authoritative sources.

Amendment: Term for amended or revised application.

Applicant: A party requesting a grant.

Application: A request for financial support of a project or activity submitted to a funder.

Application Number: When an application has been successfully submitted to a funder and the funder assigns a unique number to that application. Applicants should keep a record of the application number and reference it when communicating with the funder.

Application Package: A package that contains the application notice for one or more discretionary grant or cooperative agreement programs and all the information and forms needed to apply for those programs.

Appropriations Legislation: A law passed by Congress to provide a certain level of funding for a grant program in a given year.

Approval or authorization of the awarding or cognizant Federal agency: Documentation evidencing consent prior to incurring a specific cost. If such costs are specifically identified in a Federal award document, approval of the document constitutes approval of the costs. If the costs are covered by a state/local cost allocation plan or an indirect cost proposal, approval of the plan constitutes the approval. [OMB Circular A-87]

Area vocational education school. The term “area vocational education school” has the meaning given the term in Section 521 of the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471). [WIA Section 101]

Assets: Are cash, stocks, bonds, real estate or other holdings of a foundation. Generally, assets are invested and the income is used to make grants.

Assurances: A listing of a variety of requirements, found in different Federal laws, regulations, and executive orders that applicants agree to by signature in an application.

Audit: An examination of grant records and financial accounts for accuracy and legal compliance which may lead to recommendations for corrective action.

Authorized Official: The individual, named by the applicant organization, authorized to act for the applicant and to assume the obligations imposed by the laws, regulations, requirements, and conditions that apply to grant applications or grant awards.

Award: Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the DOL to an

eligible recipient. The term does not include technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; or contracts that are required to be entered into and administered under procurement laws and regulations. [29 CFR 95.2] An award is a funder's agreement to contribute funding to a specific project. When a funder approves an award, a formal notice is sent to the recipient. This notice may include funding mechanisms such as grants, cooperative agreements, interagency agreements, contracts, and/or other agreements.

Awarding Agency: Is the Federal government or the next highest authority, i.e., the State agency administering the formula award or the Federal agency administering the discretionary award.

Award Notification: Is an official document signed by the funder stating the amount and the terms and conditions of an award.

Award Number: Is the identifying number for a discretionary grant or cooperative agreement award issued by the funder.

Baseline Data: The Initial information on program participants or other program aspects collected prior to receipt of services or program intervention. Baseline data are often gathered through intake interviews and observations and are used later for comparing measures that determine changes in your participants, program, or environment.

Basic skills deficient. The term “basic skills deficient” means, with respect to an individual, that the individual has English reading, writing, or computing skills at or below the eighth grade level on a generally accepted standardized test or a comparable score on a criterion-referenced test. [WIA Section 101]

Block Grants: Formula funds that are not allocated to a specific category and are more flexibly distributed. Usually grants awarded to States will assist local units of government in accordance with legislative requirements.

Budget Justification: Narrative providing details on the use of and need for costs presented in an itemized budget.

Budget Period: An interval of time into which a project period is divided for budgetary purposes, usually twelve months. The budget period may be equal to or shorter than the project period for an award, but cannot be longer than the project period.

Budget: The financial expenditure plan for the grant-supported project or activity. The budget consists of funder (grant) funds, and if required by the funder, grantee participation in the form of matching or cost sharing.

Calendar Year: The period between January 1 and December 31 of any year. For example, calendar year 2001 is January 1, 2001, through December 31, 2001.

Capital Expenditure: The cost of an asset (land, building, equipment), including the cost to put it in place. A capital expenditure for equipment includes the net invoice price and the cost of any modifications, attachments, accessories, or auxiliary apparatus to make it usable for the purpose for which it was acquired. Other charges, such as taxes, in-transit insurance, freight, and installation, may be included in capital expenditure costs in accordance with the recipient's regular accounting practices consistently applied regardless of the source of funds.

Carry-Forward: Is a pool of unexpended funds which is moved to the next funding period.

Case management. The term “case management” means the provision of a client-centered approach in the delivery of services, designed (a) to prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce investment activities and supportive services, using, where feasible, computer-based technologies, and (b) to provide job and career counseling during program participation and after job placement. [WIA Section 101]

Cash Basis: Is a method of reporting revenues and expenses when cash is actually received or paid out.

Cash Contributions: Is the recipient's cash outlays for budgeted project activities, including the outlay of money contributed to the recipient by third parties. [29 CFR 95.2] [29 CFR 97.3]

Catalog of Federal Domestic Assistance (CFDA): An online database of all Federal programs available to state and local governments, federally-recognized Indian tribal governments, territories and possessions of the United States, domestic public, quasi-public, and private profit and nonprofit organizations and institutions, specialized groups, and individuals.

Central service cost allocation plan. The documentation identifying, accumulating, and allocating or developing billing rates based on the allowable costs of services provided by a governmental unit on a centralized basis to its departments and agencies. The costs of these services may be allocated or billed to users. [OMB Circular A-87]

Certification: A statement, signed by an applicant or grantee as a prerequisite for receiving Federal funds, that it 1) meets or will adhere to certain conditions and 2) will undertake or not undertake certain actions.

CFDA Number: The identifying number a Federal program is assigned in the CFDA. [29 CFR 99.105]

Chief elected official. (a) The chief elected executive officer of a unit of general local government in a local area, or (b) in a case in which a local area includes more than one unit of general local government, the individuals designated under the agreement described in Section 117(c)(1)(B). [WIA Section 101]

Claim. A written demand or written assertion by the governmental unit or grantor seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of award terms, or other relief arising under or relating to the award. A voucher, invoice, or other routine request for payment that is not a dispute when submitted is not a claim. Appeals, such as those filed by a governmental unit in response to questioned audit costs, are not considered claims until a final management decision is made by the Federal awarding agency. [OMB Circular A-87]

Clearance pattern. The frequency distribution showing the proportion of a total amount disbursed that is debited to the payer's bank account each day after the disbursement. [31 CFR 205.3 (CMIA)]

Closeout: The process in which the awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the awarding agency. *This is the period AFTER the OBLIGATION period ends.* [29 CFR 95.2] [29 CFR 97.3]

Code of Federal Regulations (CFR): A compilation of all final regulations issued by Federal agencies, published annually and divided by numbered "Titles."

Cognizant Agency: The Federal agency which, on behalf of all Federal agencies, is responsible for implementing the requirements of the Single Audit Act which include: reviewing, negotiating, and approving cost allocation plans, indirect cost rate and similar rates; receiving and approving non-Federal audit reports; conducting Federal audits as necessary; and resolving cross-cutting audit findings.

Cognizant agency for audit. The Federal awarding agency that provides the predominant amount of direct funding to a direct recipient unless OMB makes a specific agency cognizant for audit. [29 CFR 99.400(a)]

Commercial organization. Any business entity organized primarily for profit (even if its ownership is in the hands of a nonprofit entity) with a place of business located in or outside the United States. The term includes, but is not limited to, an individual, partnership, corporation, joint venture, association, or cooperative. [29 CFR 95.2]

Common Rule: The *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; Final Rule* originally issued at 53 FR 8034-8103 (March 11, 1988). Other common rules will be referred to by their specific titles. [OMB Circular A-87]

Consultant: An individual who provides professional advice or services.

Contract: A procurement contract under an award or sub-award, and a procurement subcontract under a recipient's or sub-recipient's contract. [29 CFR 95.2] [29 CFR 97.3]

Contact person: The representative of the funder for the grant program, and may also serve as the program administrator or grant officer.

Continuation Grant: A continuation grant provides additional funding for budget periods subsequent to the initial budget period.

Contracted Services: Are fees paid by a government agency, business, nonprofit agency or other organization to an organization for delivery of a service or program.

Cooperative agreements: Are awarded to States, units of local government, or private organizations at the discretion of the awarding agency. Cooperative agreements are utilized when substantial involvement is anticipated between the awarding agency and the recipient during performance of the contemplated activity.

Cooperative Agreement: A type of Federal assistance; essentially, a variation of a discretionary grant, awarded by a Federal agency when it anticipates having substantial involvement with the grantee during the performance of a funded project.

Corrective action. Action taken by the auditee that (1) corrects identified deficiencies, (2) produces recommended improvements, or (3) demonstrates that audit findings are either invalid or do not warrant auditee action. [29 CFR 99.105]

Cost: An amount as determined on cash, accrual, or other basis acceptable to the Federal awarding or cognizant-agency. It does not include transfers to a general or similar fund. [OMB Circular A-87]

Cost allocation plan (CAP). Central service cost allocation plan, public assistance cost allocation plan, and indirect cost rate proposal. [OMB Circular A-87]

Cost objective. A function, organizational subdivision, contract, grant, or other activity for which cost data is needed and for which costs are incurred. [OMB Circular A-87]

Cost-Share: The portion of program costs contributed by a grant applicant. Cost-sharing uses funds other than federal and is that which is required by a grant program to pay the percentage of project costs not covered by the grant. Cost-sharing is also called "match" and is either a statutorily specified percentage of program costs that must be contributed by a grant applicant in order to be eligible or where the applicant voluntarily shares in the costs of the program.

Cost sharing or Matching: The portion of project or program costs not borne by the Federal Government. [29 CFR 95.2] [29 CFR 97.3]

Culture: The shared values, traditions, norms, customs, arts, history, institutions, and experience of a group of people. The group may be identified by race, age, ethnicity, language, national origin, religion, or other social category or grouping.

Customized training. Training (a) that is designed to meet the special requirements of an employer (including a group of employers), (b) that is conducted with a commitment by the employer to employ an individual on successful completion of the training, and (c) for which the employer pays for not less than 50 percent of the cost of the training. [WIA Section 101]

Data: Specific information or facts that are collected. A data item is usually a discrete or single measure. Examples of data items might include age, date of entry into program, or reading level. Sources of data may include school records, case files, attendance records, referrals, assessments, interviews, and the like.

Data Universal Numbering System (DUNS): A unique nine character identification number provided by the commercial company Dun & Bradstreet (D&B).

Date of completion: The date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which awarding agency sponsorship ends. [29 CFR 95.2]

Day. A calendar day unless specified otherwise. [31 CFR 205.3 (CMIA)]

Debarment: The ineligibility of a recipient to receive any assistance or benefits from the Federal government, either indefinitely or for a specified period of time, based on legal proceedings taken pursuant to regulations contained at 2 CFR Parts 180 and 3369.

Deliverables: Those products that are produced by a grant project. They may be quantified achievement, i.e., enrollments, or singular outcomes, i.e., a curriculum.

Demonstration grant: A grant made to fund an innovative project with the intention of duplicating the project elsewhere.

Department or DOL. The United States Department of Labor, including its agencies and organizational units. [20 CFR 660.300]

Direct costs: Specific and identifiable costs of project operation. Those costs related to the actual conduct of a research project (salaries, fringe benefits, consultants, equipment, supplies, travel, patient costs, animal costs, human subject costs, publication costs, service contracts). Direct costs are usually itemized in grant application budgets. See Indirect Costs.

Design: The overall plan and specification of the approach expected in a particular application. The design describes how you plan to measure program/project outcomes and how you plan to use the resulting measurements.

Designated region. A combination of local areas that are partly or completely in a single labor market area, economic development region, or other appropriate contiguous subarea of a State that is designated by the State under WIA Section 116(c), or a similar interstate region that is designated by two or more States under WIA Section 116(c)(4). [20 CFR 660.300]

Disallowed costs: Charges to an award that the awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award. [29 CFR 95.2]

Discretionary Awards: Are awards made to States, units of local government, or private organizations at the discretion of the awarding agency. Most discretionary awards are competitive in nature in that there are limited funds available and a large number of potential recipients.

Dislocated worker. An individual who

- (a) (i) has been terminated or laid off, or who has received a notice of termination or layoff, from employment; (ii)(I) is eligible for or has exhausted entitlement to unemployment compensation; or (II) has been employed for a duration sufficient to demonstrate, to the appropriate entity at a One-Stop center referred to in Section 134(c), attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; and (iii) is unlikely to return to a previous industry or occupation;
- (b)(i) has been terminated or laid off, or has received a notice of termination or layoff from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise; (ii) is employed at a facility at which the employer has made general announcement such facility will close within 180 days; or
- (c) was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or
- (d) is a displaced homemaker. [WIA Section 101]

Displaced homemaker. An individual who has been providing unpaid services to family members in the home and who (a) has been dependent on the income of another family member but is no longer supported by that income, and (b) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. [WIA Section 101]

Drawdown. Any process whereby States and other direct recipients request and receive Federal funds. Drawdown also means any process where subrecipients request and receive Federal funds from the primary recipient. [31 CFR 205.3 (CMIA)]

DUNS Number: Is a Universal Numbering System (DUNS) number, a unique identifier available to organizations by registering with Dun and Brad Street

Earmark. Is a requirement by Congress that a Federal agency set aside funds within an appropriation for a stated recipient or purpose: it is also known as "pork barrel spending."

Economic development agencies. The term "economic development agencies" includes local planning and zoning commissions or boards, community development agencies, and other local agencies and institutions responsible for regulating, promoting, or assisting in local economic development. [WIA Section 101]

Eligible youth. Except as provided in subtitles C and D, the term "eligible youth" means an individual who

- (a) is not less than age 14 and not more than age 21;
- (b) is a low-income individual; and
- (c) is an individual who is one or more of the following:
 - i) deficient in basic literacy skills
 - (ii) a school dropout
 - (iii) homeless, a runaway, or a foster child
 - (iv) pregnant or a parent
 - (v) an offender
 - (vi) an individual who requires additional assistance to complete an educational program, or to secure and hold employment. [WIA Section 101]

Eligible provider. The term "eligible provider," used with respect to (a) training services, means a provider who is identified in accordance with Section 122(e)(3); (b) intensive services, means a provider who is identified or awarded a contract as described in Section 134(d)(3)(B);

(c) youth activities, means a provider who is awarded a grant or contract in accordance with Section 123; or (d) other workforce investment activities, means a public or private entity

Employment and training activity. An activity described in Section 134 that is carried out for an adult or dislocated worker. [WIA Section 101] [20 CFR 660.300]

Employer Identification Number: The Employer Identification Number (EIN) is a 9-digit number assigned by the Internal Revenue Service.

Encumbrance: An obligation in the form of a purchase order, or commitment which is chargeable to a grant award and for which part of the awarded amount is reserved. It ceases to be an encumbrance when paid in full.

EO data. Data on race and ethnicity, age, sex, and disability required by regulations implementing Section 188 of WIA governing nondiscrimination. These regulations are found at 29 CFR Part 37. [20 CFR 660.300]

Equipment: Equipment is defined as tangible, nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit, including all costs related to the property's final intended use. See Acquisition Cost of Equipment. Grantees may use their own definition of "equipment" provided it meets these minimum standards. [29 CFR 95.2] [29 CFR 97.3]

ETA. The Employment and Training Administration of the U.S. DOL. [20 CFR 660.300]

Evaluation: The process of collecting and analyzing data on various aspects of a program, usually for the purpose of program planning and goal setting, improving processes and outcomes, securing and allocating resources. Includes formative (collecting and analyzing data to focus on "what's working and what needs to be improved") and summative (collecting and analyzing to investigate "what's been achieved" in a program).

Excess property. Property under the control of the DOL that, as determined by the Secretary of Labor, is no longer required for its needs or the discharge of its responsibilities. [29 CFR 95.2]

Expenditure report. For nonconstruction grants, the SF 269 "Financial Status Report" (or other equivalent report. For the WIA Title IB programs, this is the Quarterly Financial Status Report). [29 CFR 97.3]

Expiration Date: The date specified in the grant award notification after which expenditures may not be charged against the grant unless to satisfy obligations committed before that date.

501(c)(3). (The section of the Internal Revenue tax code that defines the nonprofit, charitable as broadly defined, tax-exempt organizations), contributions made to these organizations are tax-exempt for the donors. To convey that status, they often represent themselves as 501(c)(3) organizations, rather than merely nonprofit organizations.

Family. Two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories: (a) a husband, wife, and dependent children; (b) a parent or guardian and dependent children; (c) A husband and wife. [WIA Section 101]

Federal agency. Any United States executive department, military department, government corporation, government-controlled corporation, any other establishment in the Executive Branch (including the Executive Office of the President), or any independent regulatory agency. [29 CFR 95.2]

Federal award. Federal financial assistance and Federal cost-reimbursement contracts that non-Federal entities receive directly from Federal awarding agencies or indirectly from pass-through entities. It does not include procurement contracts, under grants or contracts, used to buy goods or services from vendors. Any audits of such vendors shall be covered by the terms and conditions of the contract. [29 CFR 99.105]

Federal awarding agency. The Federal agency that provides an award to the recipient. [OMB Circular A-110]

Federal financial assistance: Assistance that non-Federal entities receive or administer in the form of grants, loans, loan guarantees, property (including donated surplus property), cooperative agreements, interest, subsidies, insurance, food commodities, direct appropriations, and other assistance but does not include amounts received as reimbursement for services rendered to individuals described in 29 CFR 99.205 (h) and (i). [29 CFR 99.105]

Federal Fiscal Year (FY): The period between October 1 of a calendar year and September 30 of the following calendar year, with the subsequent year as the FY designator. For example, Fiscal Year 2002 or FY 2002 is the period between October 1, 2001, and September 30, 2002.

Federally recognized Indian tribal government. The governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including any native village as defined in Section 3 of the Alaska Native Claims Settlement Act, 85 Stat 688) certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs. [29 CFR 97.3]

Federal Register: A daily compendium of Federal regulations and notices, including announcements or Request for Proposals (RFPs) for grant awards.

Fiscal year (FY): The 12-month accounting period at the end of which the books are closed for an agency or governmental unit.

Formative Evaluation: A type of process evaluation of new programs or services that focuses on collecting data on program operations so that needed changes or modifications can be made to the program in its early stages. Formative evaluations are used to provide feedback to staff about the program components that are working and those that need to be changed.

Formula Grant: A grant that the Federal agency is directed by Congress to make to grantees, for which the amount is established by a formula based on certain criteria that are written into the legislation and program regulations; this funding is directly awarded and administered in the Federal agency's program offices.

Funder: The governmental unit, foundation or other entity that awards grants.

Funding Cycle: The schedule of events starting with the announcement of the availability of funds, followed by the deadline for submission of applications, review of applications, award of grants and release of funds.

Funding period: The period of time when Federal funding is available for obligation by the recipient. [29 CFR 95.2]

Funding priorities: Is a means of focusing a competition on the areas in which the agency is particularly interested in receiving applications. Priorities take the form of specific kinds of activities that applicants are asked to include in an application to receive preference in the review process. The U.S. Department of Education has the following classifications for priorities:

- **Absolute priorities** are those which the applicant must address to be considered for funding.
- **Competitive priorities** are optional and may provide bonus points or be given some other advantage in funding.
- **Invitational priorities** also are encouraged, but not required. The only advantage they offer is serving as a tiebreaker between proposals with the same score.

GAAP: Generally Accepted Accounting Principles. Accounting rules and procedures established by authoritative bodies or conventions that have evolved through custom and common usage [OMB Circular A-133]. Issued by the American Institute of Certified Public Accountants (AICPA) [29 CFR 99.105]

GAGAS. Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States, which are applicable to financial audits. [29 CFR 99.105]

General/operating support: A grant made to further the general purpose or work of an organization, rather than for a specific purpose or project; also called an unrestricted grant.

Government: A state, local, or a federally recognized Indian tribal government. [29 CFR 97.3]

Governmental unit. The entire State, local, or Federally recognized Indian tribal government, including any component thereof. Components of governmental units may function independently of the governmental unit in accordance with the term of the award. [OMB Circular A-87]

Governor. The chief executive of a State. [WIA Section 101]

Grant: Is a financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant is distinguished from a contract, which is used to acquire property or services for the Federal government's direct benefit or use. [29 CFR 97.3]

Grant Administrator: The member of the Federal organization who has the official responsibility for administering the award, e.g., for negotiating budget revisions, overseeing the submission of required reports, and ensuring compliance with the terms and conditions of the award.

Grant Agreement: A grant agreement is a legal instrument for the transfer of funds from the funder to the grantee and which sets forth the terms and conditions of the award.

Grant Award Notification (GAN). An official document signed by a program official who is authorized to obligate the Department in financial matters. The GAN states the amount and the terms and conditions of an award for a discretionary grant or cooperative agreement.

Grant Period: The period that extends from the effective date through the expiration date.

Grantee: An organization that has been awarded financial assistance for a project. The grantee is the entire legal entity even if a particular component (e.g., department, office, or agency) carries-out the grant -funded activities. The grantee is legally responsible and accountable to the funder for the performance and financial aspects of the grant-supported project or activity.

Grantee department or agency. The component of a State, local, or Federally recognized Indian tribal government that is responsible for the performance or administration of all or some part of a Federal award. [OMB Circular A-87]

Grant officer. Any person authorized to enter into, modify, or terminate any financial assistance awards and make related determinations and findings. DOL grant officers shall be designated by name on a "Certificate of Appointment." [29 CFR 95.2]

Grantor: A governmental unit, foundation, or other entity that awards grants.

Indirect Costs (IDC): Facilities and Administration costs: those costs related to institutional infrastructure, both physical and administrative, that are necessary for research to be conducted (space, utilities, custodial services, security, library services, animal facilities, information systems, shared research facilities, institutional review board, institutional animal care and use committee, bio-safety, payroll, purchasing, grant management). These costs are not itemized in grant applications. Typically, indirect costs are calculated as a percentage of all or part of the direct costs.

Indirect Cost Rate Agreement: A formalized, written, and signed agreement between a recipient and the cognizant Federal agency that specifies the treatment of indirect costs. The agreement includes, at a minimum, the approved rate(s); base(s) to which the rate(s) apply; applicable fiscal year; specific treatment of certain items of cost; general terms and conditions; and any special remarks. The rates and cost treatment laid out in the agreement are accepted and used by all federal agencies unless prohibited or limited by statute.

Indirect cost rate proposal: The documentation prepared by an organization to substantiate its claim for the reimbursement of indirect costs. This proposal provides the basis for the review and negotiation leading to the establishment of an organization's indirect cost rate.

Individual with a disability. (a) In general, an individual with any disability (as defined in Section 3 of the

Americans with Disabilities Act of 1990 (42 U.S.C. 12102)); (b) “individuals with disabilities” means more than one individual with a disability. [WIA Section 101]

In-Kind: The value of noncash contributions provided by third parties or the grantee. In-kind contributions may be in the form of charges for real property and equipment or the value of goods and services directly benefiting and specifically identifiable to the project.

Intangible property and debt instruments. Include, but are not limited to, trademarks, copyrights, patents, and patent applications; and such property as loans, notes, and other debt instruments; lease agreements; stock; and other instruments of property ownership, whether considered tangible or intangible. [29 CFR 95.2]

Internal control. A process, effected by an entity’s management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories: (1) effectiveness and efficiency of operations, (2) reliability of financial reporting, and (3) compliance with applicable laws and regulations. [29 CFR 99.105]

Internal control pertaining to the compliance requirements for Federal programs (internal control over Federal programs). A process, affected by an entity's management and other personnel, designed to provide reasonable assurance regarding the achievement of the following objectives for Federal programs. (1) Transactions are properly recorded and accounted for to (a) permit the preparation of reliable financial statements and Federal reports; (b) maintain accountability over assets; and (c) demonstrate compliance with laws, regulations, and other compliance requirements. (2) Transactions are executed in compliance with (a) laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on a Federal program; and (b) any other laws and regulations that are identified in the compliance supplement. (3) Funds, property, and other assets are safeguarded against loss from unauthorized use or disposition. [29 CFR 99.105]

Journal Vouchers: An accounting entry for the recording of certain transactions, corrections or information. The journal voucher usually contains an entry or entries, explanations, references to documentary evidence supporting the entry or entries, and the signature or initials of one or more properly authorized officials.

Key Personnel: The individuals who contribute to the development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Consultants also may be considered key personnel if they meet this definition. "As needed" is not an acceptable level of involvement for key personnel.

Labor market area. An economically integrated geographic area within which individuals can reside and find employment within a reasonable distance or can readily change employment without changing their place of residence. Such an area shall be identified in accordance with criteria used by the Bureau of Labor Statistics of the DOL in defining such areas or similar criteria established by a Governor. [WIA Section 101]

Leasehold improvements. Improvements to leased property made by the lessee that usually revert to the lessor at the end of the life of the lease. If the lessee constructs new buildings on the land or reconstructs and improves existing buildings, the lessee has the right to use such facilities during the life of the lease, but they become the property of the lessor when the lease expires. [GAAP]

Letters of Commitment: Letters-of-commitment specifically list services, money or other inputs promised to the project by partner organizations.

Letters of Support: Letters-of-support are written endorsements of an application for funding. They are provided by organizations or individuals who are familiar with the applicant's ability.

Literacy. An individual's ability to read, write, and speak in English, and to compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual, and in society. [20 CFR 660.300]

Local area. A Local Workforce Investment Area (LWIA) designated under Section 116. [WIA Section 101]

Local Board. A Local Workforce Investment Board (LWIB) established under WIA Section 117, to set policy for the local workforce investment system. [20 CFR 660.300]

Local educational agency. The term "local educational agency" has the meaning given the term in Section 14101 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8801). [WIA Section 101]

Local performance measure. A performance measure established under Section 136(c). [WIA Section 101]

Low-income individual. An individual who

- (a) receives, or is a member of a family that receives, cash payments under a Federal, State, or local income-based public assistance program;
- (b) received an income, or is a member of a family that received a total family income, for the six-month period prior to application for the program involved (exclusive of unemployment compensation, child support payments, payments described in subparagraph (a), and old-age and survivors' insurance benefits received under Section 202 of the Social Security Act (42 U.S.C. 402)) that, in relation to family size, does not exceed the higher of
 - (i) the poverty line, for an equivalent period; or
 - (ii) 70 percent of the lower living standard income level, for an equivalent period;
- (c) is a member of a household that receives (or has been determined within the six-month period prior to application for the program involved to be eligible to receive) food stamps pursuant to the Food Stamp Act of 1977 (7 U.S.C. 2011 et seq.);
- (d) qualifies as a homeless individual, as defined in Subsections (a) and (c) of Section 103 of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11302);
- (e) is a foster child on behalf of whom State or local government payments are made; or
- (f) in cases permitted by regulations promulgated by the Secretary of Labor, is an individual with a disability whose own income meets the requirements of a program described in subparagraph (a) or of subparagraph (b), but who is a member of a family whose income does not meet such requirements. [WIA Section 101]

Lower living standard income level. That income level (adjusted for regional, metropolitan, urban, and rural differences and family size) determined annually by the Secretary of Labor based on the most recent lower living family budget issued by the Secretary. [WIA Section 101]

Local Government: A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of government, or other regional or interstate government entity, or any agency or instrumentality of a local government.

Local Government: A local unit of government, including specifically a county, municipality, city, town, township, local public authority, school district, special district, intra-state district, council of governments (whether or not incorporated as nonprofit corporation under state law), any other regional or interstate entity, or any agency or instrumentality of local government. [29 CFR 97.3]

Major program. A Federal program determined by the auditor to be a major program in accordance with Section 99.520 or a program identified as a major program by a Federal agency or pass-through entity in accordance with Section 99.215(c). A threshold of \$300,000 or 3 percent of total Federal expenditures is the usual standard, subject to the requirement of the regulations. [29 CFR 99.105]

Mandatory award: A grant or cooperative agreement awarded under a program where the authorizing statute requires the head of the agency or designee to make an award to each eligible under the conditions and in the amount (or based on a formula) specified in the statute.

Matching funds: Funds, other than Federal required by a grant program to pay the percentage of project costs not covered by the grant. It is the portion of program costs contributed by a grant applicant. Match is also called cost-share and is either a statutorily specified percentage of program costs that must be contributed by a grant applicant in order to be eligible or where the applicant voluntarily shares in the costs of the program. See Cost Sharing.

Memorandum of Understanding (MOU). An agreement developed and executed among partners relating to their roles in a joint operation.

Noncompetitive Discretionary Funds: Funds that may be issued, when warranted, to a "sole source" because no other provider will meet the RFP's requirements. Legislators often make this type of funding available to heads of state and heads of departments to use at their discretion. See "earmark."

Nonprofit organization. Any corporation, trust, association, cooperative, or other organization which (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. For this purpose, the term "nonprofit organization" excludes (a) colleges and universities; (b) hospitals; (c) State, local, and Federally recognized Indian tribal governments; and (d) those nonprofit organizations that are excluded from coverage of this circular in accordance with Paragraph 5. The organizations excluded from coverage are large and operate as commercial concerns for purposes of applicability of cost principles. They are listed in Attachment C to the circular. [OMB Circular A-122]

Nontraditional employment. Occupations or fields of work for which individuals from one gender comprise less than 25 percent of the individuals employed in each such occupation or field of work. [WIA Section 101]

Notice of Funding Availability (NOFA): A term used for the announcement of a funding competition or RFP.

Notice of grant award: The legally binding document that notifies the grantee and others that an award has been made, contains or references all terms and conditions of the award, and documents the obligation of Federal funds. The award notice may be in hard copy or may be issued electronically.

Objective: A specific statement that explains how a program goal will be accomplished. For example, an objective of the goal to improve adult literacy could be to provide tutoring to participants on a weekly basis for 6 months. An objective is stated so that changes (in this case, an increase in a specific type of knowledge,) can be measured and analyzed. Objectives are written using measurable terms and are time-limited.

Obligated Funds: Unexpended funds encumbered at the end of the funding period to cover known obligations. They are considered to be unexpended funds.

Obligations: The amounts of orders placed, contracts and sub-grants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period. [29 CFR 95.2] [29 CFR 97.3]

Offender. Any adult or juvenile (a) who is or has been subject to any stage of the criminal justice process, for whom services under this Act may be beneficial; or (b) who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction. [WIA Section 101]

Office of Management and Budget (OMB): A branch of the Executive Office of the President. OMB helps the President formulate his spending plans; evaluates the effectiveness of agency programs, policies, and procedures; assesses competing funding demands among agencies, and sets funding priorities. OMB ensures that agency reports, rules, testimony, and proposed legislation are consistent with the President's budget and with administration policies. In addition, OMB oversees and coordinates the administration's procurement, financial management, information, and regulatory policies. In each of these areas, OMB's role is to help improve administrative management, to develop better performance measures and coordinating mechanisms, and to reduce any unnecessary burdens on the public.

Office of Management and Budget (OMB) Circulars: Administrative policy documents issued by OMB that give instruction to Federal agencies on a variety of topics, including the administration of Federal grants and cooperative agreements.

Older individual. An individual age 55 or older. [WIA Section 101]

OMB. The United States Office of Management and Budget. [29 CFR 97.3]

One-Stop operator. One or more entities designated or certified under Section 121(d). [WIA Section 101]

Operating Lease. A lease that does not qualify as a capital lease. [GAAP]

Organization: A company, state, local, or tribal government, academia or research institution, not-for-profit entity, or any other type of institution.

Outcomes: The result of the program, services, or products you provide and refer to changes in knowledge, attitude, or behavior that you expect to occur as a result of implementing the project or program, service or activity.

Outcome Evaluation: Designed to assess the extent to which a program or intervention affects participants according to specific variables or data elements. These results are expected to be caused by program activities and tested by comparison of results across sample groups in the target population. Outcome evaluation is also known as impact and **summative evaluation**.

Outcome Objectives: Differences, including the changes in knowledge, attitudes, awareness, or behavior that you expect to occur as a result of implementing your program component, proposal, service, or activity. Outcomes should flow directly from program goals and may be long or short-term.

Out-of-school youth. (a) an eligible youth who is a school dropout; or (b) an eligible youth who has received a secondary school diploma or its equivalent but is basic-skills deficient, unemployed, or underemployed. [WIA Section 101]

Outlays (expenditures): Charges made to the project or program. They may be reported on a cash or accrual basis. For reports prepared on a cash basis, outlays are the sum of actual cash disbursement for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and sub-grantees. For reports prepared on an accrued expenditure basis, outlays are the sum of actual cash disbursements, the amount of

indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the grantee for goods and other property received, for services performed by employees, contractors, sub-grantees, subcontractors, and other payees, and other amounts becoming owed under programs for which no current services or performance are required, such as annuities, insurance claims, and other benefit payments. [29 CFR 95.2] [29 CFR 97.3] **NOTE: ETA requires outlays (expenditures) to be reported on an accrual basis.**

Outlying area. The United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and The Republic of Palau. [WIA Section 101] [20 CFR 660.300]

Overhead: See Indirect Costs.

Participant. An individual who has been determined to be eligible to participate in and who is receiving services (except follow-up services authorized under this title) under a program authorized by this title. Participation shall be deemed to commence on the first day, following determination of eligibility, on which the individual began receiving subsidized employment, training, or other services provided under this title. [WIA Section 101] Also, a participant is a person registered under 20 CFR 663.105 or 664.215. [20 CFR 660.300]

Partnerships: Partnerships involve similar organizations that help each other meet their respective goals, without making substantial changes in the services they provide.

Pass-through entity: A non-Federal entity that provides a Federal award to a subrecipient to carry out a Federal program. [29 CFR 99.105]

Performance Funding: Performance funding is based on the timely submission of deliverables according to the specifications negotiated between grantor and grantee.

Performance Indicator: A target level of performance expressed in measurable terms, against which actual achievement are compared (i.e. student retention rates will increase on percent annually for each of the next five years).

Performance Measure: A characteristic or metric that can be used to assess the performance aspects of a program or project (i.e., dollars expended, students enrolled, grade- point average, and number of job offers received).

Performance Period: The total amount of time during which the funder authorizes a grantee to complete the approved work of the project described in the application. Performance periods of more than 1 year in duration are divided into budget periods.

Performance Report: A report of the specific activities a grantee has performed during the budget or performance period.

Personal property: Property of any kind except real property. It may be tangible, having physical existence, or intangible, having no physical existence, such as copyrights, patents, or securities. [29 CFR 95.2]

Postsecondary educational institution. An institution of higher education, as defined in Section 481 of the Higher Education Act of 1965 (20 U.S.C. 1088). [WIA Section 101]

Poverty line. Poverty line (as defined by OMB and revised annually in accordance with Section 673(2) of the

Community Services Block Grant Act (42 U.S.C. 9902(2))) applicable to a family of the size involved. [WIA Section 101]

Prior approval: Written approval by an authorized agency official evidencing prior consent. [29 CFR 95.2] [29 CFR 97.3]

Prior approval. Securing the awarding agency's permission in advance to incur cost for those items that are designated as requiring prior approval by the circular. Generally, this permission will be in writing. Where an item of cost requiring prior approval is specified in the budget of an award, approval of the budget constitutes approval of that cost. [OMB Circular A-122]

Program: A coherent assembly of plans, project activities, and supporting resources contained within an administrative framework, the purpose of which is to implement an organization's mission or some specific program-related aspect of that mission.

Program Income: Money that is earned or received by a recipient or a sub-recipient from the activities supported by award funds or from products resulting from award activities. It includes, but is not limited to, income from fees for services performed and from the sale of items fabricated under an award; usage or rental fees for equipment or property acquired under an award; admission fees; broadcast or distribution rights; and royalties on patents and copyrights during the grant period. **Program income does not include** refunds, rebates, credits, or discounts, proceeds from the sale of personal property, income from royalties and license fees for copyrights, patents, and inventions, unless such income is specifically identified in the grant agreement as program income. Program income also *does not include* income earned after the grant period has ended, contributions and donations, profits of commercial organizations, and funds used as a match. [29 CFR 95.2]

Program Officer: The Federal staff member designated in the contract for a grantee. Questions related to project activities, the scope of the project or changed in key personnel should be directed to the program officer.

Program Year (PY): The period between July 1 of a calendar year and June 30 of the following calendar year. The PY designator is the year the period begins. For example, Program Year 2001 or PY 2001 is the period between July 1, 2001, and June 30, 2002.

Programmatic Report: See "Performance Report"

Project: All activities incorporated in a grant statement of work (SOW), which may include a program as well as the administrative and accountability elements as defined in the SOW.

Project costs. All allowable costs, as set forth in the applicable Federal cost principles, incurred by a recipient and the value of the contributions made by third parties in accomplishing the objectives of the award during the **project period**. [29 CFR 95.2]

Project Funds: Federal and non-Federal funds that are used to cover the cost of budgeted project activities

Project period: The period established in the award document during which awarding agency sponsorship begins and ends. [29 CFR 95.2]

Property. Unless otherwise stated, real property, equipment, intangible property, and debt instruments. [29 CFR 95.2]

Public assistance. Federal, State, or local government cash payments for which eligibility is determined by a needs

or income test. [WIA Section 101]

Public assistance cost allocation plan. A narrative description of the procedures that will be used in identifying, measuring, and allocating all administrative costs to all of the programs administered or supervised by State public assistance agencies as described in Attachment D of the circular. [OMB Circular A-87]

Qualitative data are difficult to measure, count, or express in numerical terms. For example, a participant's impression about the fairness of a program rule/requirement is qualitative data.

Quantitative data can be expressed in numerical terms, counted or compared on a scale (for example) improvement in a child's reading level as measured by a reading test.

Questioned cost: A cost that is questioned by the auditor because of an audit finding: (1) which resulted from a possible violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the use of Federal funds, including funds used to match Federal funds; (2) where the costs, at the time of the audit, are not supported by adequate documentation; or (3) where the costs incurred appear unreasonable and do not reflect the actions a prudent person would take in the circumstances. [29 CFR 99.105]

Rapid response activity. An activity provided by a State, or by an entity designated by a State, with funds provided by the State under Section 134(a)(1)(A), in the case of a permanent closure or mass layoff at a plant, facility, or enterprise, or a natural or other disaster, that results in mass job dislocation, in order to assist dislocated workers in obtaining reemployment as soon as possible, with services including

(a) the establishment of on-site contact with employers and employee representatives
mass layoff; or

(ii) in the case of a disaster, immediately after the State is made aware of mass job

(b) the provision of information and access to available employment and training activities

(c) assistance in establishing a labor-management committee, voluntarily agreed to by labor and management, with the ability to devise and implement a strategy for assessing the employment and training needs of dislocated workers and obtaining services to meet such needs

(d) the provision of emergency assistance adapted to the particular closure, layoff, or disaster

(e) the provision of assistance to the local community in developing a coordinated response and in obtaining access to State economic development assistance. [WIA Section 101]

Real property: Land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment. [29 CFR 95.2] [29 CFR 97.3]

Recipient: A non-Federal entity that expends Federal awards received directly from a Federal awarding agency to carry out a Federal program. [29 CFR 99.105]

Register. The process for collecting information to determine an individual's eligibility for services under WIA Title I. Individuals may be registered in a variety of ways, as described in 20 CFR 663.105 and 20 CFR 664.215. [20 CFR 660.300]

Renovation: Work that changes the interior arrangements or other physical characteristics of an existing facility or of installed equipment so that it can be used more effectively for its currently designated purpose or adapted to an alternative use to meet a programmatic requirement.

Request for funds. A solicitation for funds that is completed and submitted in accordance with Federal agency guidelines. Request for funds also means a properly and fully completed application requesting funds that is

submitted by the subrecipient in accordance with State guidelines. [31 CFR 205.3 (CMIA)]

Request-for-Proposal (RFP) is a solicitation by a grantor seeking applications from potential grantees. Also used by organizations to hire professional services.

Reviewer, Grant Reviewer, Peer Reviewer, Field Reviewer: An individual who reviews and scores a competitive proposal. Reviewers are chosen for their subject-area expertise and typically serve on a panel or "technical" panel of at least three members.

Secondary school. The term “secondary school” has the meaning given the term in Section 14101 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8801). [WIA Section 101]

Secretary. Secretary of Labor, and the term means such Secretary for purposes of Section 503. [WIA Section 101]

Selection Criteria: Standards by which different components of a proposal are rated and scored to qualify for funding.

Self-certification. An individual’s signed attestation that the information he/she submits to demonstrate eligibility for a program under Title I of WIA is true and accurate. [20 CFR 660.300]

Set-asides: Funds reserved by a grantor for a specific purpose or project.

Share. When referring to the awarding agency’s portion of real property, equipment, or supplies, means the same percentage as the awarding agency’s portion of the acquiring party’s total costs under the grant to which the acquisition cost of the property was charged. Only costs are to be counted, not the value of third-party in-kind contributions. [29 CFR 97.3]

Single audit: An audit which includes both the entity's financial statements and the Federal awards as described in 29 CFR 99.500. [29 CFR 99.105]

Single State Point of Contact (Single State Point of Contact): State contact that district must use when applying for certain Federal grants.

Small award. A grant or cooperative agreement not exceeding the small purchase [simplified acquisition] threshold fixed at 41 U.S.C. Section 403(11) (currently \$100,000). [29 CFR 95.2]

Standard Form 269 (SF-269): A standard Federal form for reporting expenditures for a grant or cooperative agreement for a particular reporting period, usually the 12-month Federal fiscal year, which runs from October 1 through September 30.

Standard Form 424 (SF-424): The grant application form, sometimes referred to as the application "cover page," required for applications for Federal assistance.

State: Any of several states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a state exclusive of local governments. [29 CFR 97.3]

State board. A State workforce investment board established under Section 111. [WIA Section 101] [20 CFR 660.300]

Sub-award (Sub-grant): An award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services nor does it include any form of assistance which is excluded from the definition of "award." [29 CFR 95.2] [29 CFR 97.3]

Sub-Contract: Arrangement whereby part of a research project is carried out by a different organization/legal entity.

Subgrantee. The government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided. [29 CFR 97.3]

Sub-Grants: Formula or competitive grants made from a larger grant.

Subrecipient: A non-Federal entity that expends Federal awards received from a pass-through entity to carry out a Federal program, but does not include an individual that is a beneficiary of such a program: A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency. Guidance on distinguishing between a subrecipient and a vendor is provided in 29 CFR 99.210. [29 CFR 99.105]

Substantial progress: A level of accomplishment that a grantee must make in its project during a budget period, which produces measurable and verifiable evidence that the activities undertaken complied with those objectives submitted and agreed on between the grantee and the Department during the grant awarding process.

Supplies: All tangible personal property, equipment. Title to supplies, or other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program. [29 CFR 95.2] [29 CFR 97.3]

Supportive services. Services such as transportation, child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in activities authorized under this title, consistent with the provisions of this title. [WIA Section 101]

Suspension: 1. The temporary withdrawal of federal sponsorship, including the withdrawal of authority to incur expenditures against award funds, pending corrective action. 2. A decision to terminate the award or the suspension of an individual or organization causes that party to be temporarily ineligible to receive any assistance and benefits from the federal government pending completion of investigation and legal proceedings as prescribed under federal regulations. [29 CFR 95.2] [29 CFR 97.3]

Termination: The cancellation of awarding agency sponsorship, in whole or in part, under an agreement at any time prior to the date of completion. [29 CFR 95.2] [29 CFR 97.3]

Termination. Permanent withdrawal of the authority to obligate previously awarded grant funds before that authority would otherwise expire. Also, the voluntary relinquishment of that authority by the grantee or subgrantee. Termination does not include (1) withdrawal of funds awarded on the basis of the grantee's underestimation of the unobligated balance in a prior period; (2) withdrawal of the unobligated balance as of the expiration of a grant; (3) refusal to extend a grant or award additional funds, to make a competing or noncompeting continuation, renewal, extension, or supplemental award; or (4) voiding of a grant upon determination that the award was obtained fraudulently, or was otherwise illegal or invalid from inception. [29 CFR 97.3]

Terms and Conditions: All legal requirements imposed on a grant by the funder, whether based on statute, regulation, policy, or other document referenced in the grant award, or specified by the grant award document itself.

Third-party in-kind contributions: The value of non-cash contributions provided by non-Federal third parties. Third-party in-kind contributions may be in the form of real property, equipment, supplies, or other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program. [29 CFR 95.2] [29 CFR 97.3]

Total Project Costs: The total allowable costs incurred by the grantee to carry out a grant-supported project or activity.

Treasury/State agreements. Agreements that set forth the terms and conditions for implementing the funding arrangement for a program or group of programs, between the Federal government and State recipients. The agreement must include, but not be limited to, programs involved, funding techniques, interest calculation method, and clearance pattern method. [31 CFR 205.3 (CMIA)]

Types of compliance requirements. The types of compliance requirements listed in the compliance supplement. Examples include allowed or unallowed activities, allowable costs/cost principles, cash management, eligibility, matching, level of effort, earmarking, and reporting. [29 CFR 99.105]

Unallowable Cost: A cost determined to be unallowable in accordance with the applicable cost principles or other terms and conditions contained in a grant award.

Unemployed individual. An individual who is without a job and who wants and is available for work. The determination of whether an individual is without a job shall be made in accordance with the criteria used by the Bureau of Labor Statistics of the DOL in defining individuals as unemployed. [WIA Section 101]

Unexpended Funds: The funding (money) not spent during the award process.

Unit of general local government. Any general-purpose political subdivision of a State that has the power to levy taxes and spend funds, as well as general corporate and police powers. [WIA Section 101]

Un-liquidated obligations: Reports prepared on a cash basis, for the amount of obligations incurred by the grantee that has not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the grantee for which an outlay has not been recorded. [29 CFR 95.2] [29 CFR 97.3]

Unobligated balance: The portion of the funds authorized by the Federal agency that has not been obligated by the grantee and is determined by deducting the cumulative obligations from the cumulative funds authorized. [29 CFR 95.2] [29 CFR 97.3]

Unrecovered indirect cost. The difference between the amount awarded and the amount that could have been awarded under the recipient's approved negotiated indirect cost rate. [29 CFR 95.2]

Vendor: A dealer, distributor, merchant or other seller providing goods or services required for the conduct of a Federal program. These goods and services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a vendor is provided in 29 CFR 99.210. [29 CFR 99.105]

Veteran.

- a) **Veteran.** An individual who served in the active military, naval, or air service, and who was discharged or released from such service under conditions other than dishonorable.
- (b) **Recently separated veteran.** Any veteran who applies for participation under this title within 48 months after the discharge or release from active military, naval, or air service. [WIA Section 101]

Vocational education. The term “vocational education” has the meaning given the term in section 521 of the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471). [WIA Section 101]

Wagner-Peyser Act. The Wagner-Peyser Act of June 6, 1933, as amended, codified at 29 U.S.C. 49 et seq. [20 CFR 660.300]

WARN. Worker Adjustment and Retraining Notification Act, which offers protection to workers, their families, and communities by requiring employers to provide written notice 60 days in advance of covered plant closings and covered mass layoffs. This notice must be provided to either affected workers or their representatives (e.g., a labor union), to the Dislocated Worker Unit, and to the appropriate unit of local government. [Workforce Tool Kit Glossary]

WIA. Workforce Investment Act. [20 CFR 660.300]

Workforce investment activities. The array of activities permitted under Title I of the WIA, which include employment and training activities for adults and dislocated workers, as described in WIA Section 134, and youth activities, as described in WIA Section 129. [20 CFR 660.300]

Workforce investment activity. An employment and training activity, and a youth activity. [WIA Section 101]

WtW. Welfare-to-Work. [20 CFR 645.120]

Youth activity. An activity described in Section 129 that is carried out for eligible youth (or as described in Section 129(c)(5)). [WIA Section 101]

Youth council. A council established under Section 117(h). [WIA Section 101]

Zero Balance: At the closing of a grant, when cash, expenditures, budget, and revenue are equal, the budget is said to have a zero balance.

Acronyms

DOL	U.S. Department of Labor, including its agencies and organizations
ETA	Employment and Training Administration
EDP	Employment Development Plan
EO	Equal Opportunity
e-CMATs	Enhanced Case Management and Tracking System
Employment and Training activity: means a workforce investment activity that is carried out for an adult or for a dislocated worker.	
FPO	Federal Project Officer
GEMS	Grants e-Management System
LMI	Labor Market Information
LWIB	Local Workforce Investment Board

MIS	Management Information System
MOU	Memorandum of Understanding
OMB	Office of Management and Budget
QFSR	Quarterly Financial Status Report
SOW	Statement of Work
TDLWD	Tennessee Department of Labor and Workforce Development

WEBLIOGRAPHY

Administrative Entity & Comprehensive Career Center Web Site

LWIA 1

<http://www.ab-t.org/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/washington.htm

LWIA 2

<http://www.ws.edu/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/hamblen.htm

LWIA 3

<http://www.knoxcac.org>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/knox_universityst.htm

LWIA 4

<http://www.ethra.org/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/cumberland.htm

LWIA 5

<http://www.sedev.org/www>

<http://www.secareercenter.org/>

LWIA 6

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/coffee.htm

LWIA 7

<http://www.uchra.com/>

<http://www.uccareercenter.com/>

LWIA 8

<http://www.workforceessentials.com/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/montgomery.htm

LWIA 9

<http://www.nashville.gov/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/davidson.htm

LWIA 10

<http://www.sctworkforce.org>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/maury.htm

LWIA 11

<http://www.unitedway.tn.org/>

<http://www.wtncc.tn.org/>

LWIA 12

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/dyer.htm

LWIA 13

<http://www.cityofmemphis.org/>

<http://www.memphiscareercenter.com/>

State Web Sites

State Web Sites

[http:// www.tnrecovery.gov](http://www.tnrecovery.gov). This is the homepage for Tennessee's Recovery Act announcements and directives.

<http://www.tn.gov/labor-wfd/empwfd.html>. This is the homepage of the Division of Workforce Development, Department of Labor and Workforce Development

[http://www.tennessee.gov /labor-wfd/wioplan.html](http://www.tennessee.gov/labor-wfd/wioplan.html).. View the State's 5-Year Strategic Plan for WIA

http://www.state.tn.us/labor-wfd/et_incumbent_faq.html. View Frequently Asked Questions about the Incumbent Worker Program

<http://www.state.tn.us/labor-wfd/graphics/TNmplwia.gif>. View the LWIA map

http://www.tn.gov/labor-wfd/et_services_prog_mgmt_plng.html View Workforce Investment Act Policies from Workforce Development

http://www.tn.gov/labor-wfd/et_services_prog_mgmt_plng_scsep.html View Senior Community Services Employment Program Policies from Workforce Development

[http://www.tennessee.gov /labor-wfd/performanceable2003-04.pdf](http://www.tennessee.gov/labor-wfd/performanceable2003-04.pdf). Workforce Development Performance Measures, 2005-2006

<http://www.tennesseeanytime.org/wiaetpl-app/search.html>. View the List of Eligible Training Providers

<http://www.lexisnexis.com/hottopics/tncode/> Tennessee Code Annotated **[ew.tnrecovery.gov/b](http://www.tnrecovery.gov/b)**

Federal Web Sites

<http://www.doleta.gov/> Employment and Training Administration, US Department of Labor

<http://www.doleta.gov/usworkforce/wia/act.cfm>. View Public Law 105-220, WIA 1998

<http://www.whitehouse.gov/omb/egov>. View Plans for eGovernment Initiative

<http://wdr.doleta.gov/directives/>. ETA Training and Employment Guidance Letters/Advisories

<http://www.gpoaccess.gov/cfr/index.html>. Search the Code of Federal Regulations

http://www.whitehouse.gov/omb/circulars_a122_2004 OMB, Circular A-122

http://www.whitehouse.gov/omb/circulars-a133_compliance_supplement_2010 OMB, Circular A-133

<http://www.hhs.gov/ocr/> LEP Guidance, ETA

<http://www.gpoaccess.gov/uscode> Search the United States Code

http://wdr.doleta.gov/opr/fulltext/FINALrep_02.pdf View the Urban Institute's preliminary report on employment and training activities at faith-based institutions

<http://www.eeoc.gov/policy/ada.html> View Americans With Disabilities Act of 1990

<http://www.access-board.gov/508.htm> 36 CFR Part 1194, Electronic and Information Technology Accessibility Standards

<http://www.access-board.gov/telecomm/index.htm> 36 CFR Part 1193, Telecommunications Act Accessibility Guidelines

DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT			
ANNUAL AGREEMENT MONITORING INFORMATION			
ATTACHMENT A			
AS OF JUNE 6, 2012			
Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 01			
LW01P101YOUTH11	SULLIVAN COUNTY	April 1, 2010-June 30, 2012	\$805,952.00
LW01P101ADULT11	SULLIVAN COUNTY	July 1, 2010-June 30, 2012	\$144,986.00
LW01P101DSLWK11	SULLIVAN COUNTY	July 1, 2010-June 30, 2012	\$253,520.00
LW01F111ADULT11	SULLIVAN COUNTY	October 1, 2010-June 30, 2012	\$690,318.00
LW01F111DSLWK11	SULLIVAN COUNTY	October 1, 2010-June 30, 2012	\$673,255.00
LW01P111YOUTH12	SULLIVAN COUNTY	April 1, 2011-June 30, 2013	\$851,883.00
LW01P111ADULT12	SULLIVAN COUNTY	July 1, 2011-June 30, 2013	\$67,683.00
LW01P111DSLWK12	SULLIVAN COUNTY	July 1, 2011-June 30, 2013	\$112,417.00
LW01F121ADULT12	SULLIVAN COUNTY	October 1, 2011-June 30, 2013	\$817,546.00
LW01F121DSLWK12	SULLIVAN COUNTY	October 1, 2011-June 30, 2013	\$474,337.00
LW01P121YOUTH13	SULLIVAN COUNTY	April 1, 2012-June 30, 2014	\$808,265.00
LW49F112NCSWA11	Alliance for Bus.&Training	Jan. 1, 2012-December 31, 2012	\$32,500.00
LW49F121IWRSP12	Alliance for Bus.&Training	November 1, 2011-September 30, 2012	\$90,000.00
LW49F111ADDEI11	Alliance for Bus.&Training	October 1, 2011-September 30, 2014	\$480,000.00
LW49ST91DWNEG09	Alliance for Bus.&Training	October 1, 2010-June 30, 2012	\$203,500.00
LW49F111DWNEG11	Alliance for Bus.&Training	May 16, 2011-March 31, 2012	\$51,071.00
			\$6,557,233.00

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 02			
LW02P101YOUTH11	HAWKINS COUNTY	April 1, 2010-June 30, 2012	\$1,421,556.00
LW02P101ADULT11	HAWKINS COUNTY	July 1, 2010-June 30, 2012	\$236,528.00
LW02P101DSLWK11	HAWKINS COUNTY	July 1, 2010-June 30, 2012	\$307,402.00
LW02F111ADULT11	HAWKINS COUNTY	October 1, 2010-June 30, 2012	\$1,126,173.00
LW02F111DSLWK11	HAWKINS COUNTY	October 1, 2010-June 30, 2012	\$816,347.00
LW02P111YOUTH12	HAWKINS COUNTY	April 1, 2011-June 30, 2013	\$1,329,542.00
LW02P111ADULT12	HAWKINS COUNTY	July 1, 2011-June 30, 2013	\$98,146.00
LW02P111DSLWK12	HAWKINS COUNTY	July 1, 2011-June 30, 2013	\$185,909.00
LW02F121ADULT12	HAWKINS COUNTY	October 1, 2011-June 30, 2013	\$1,185,551.00
LW02F121DSLWK12	HAWKINS COUNTY	October 1, 2011-June 30, 2013	\$784,434.00
LW02P121YOUTH13	HAWKINS COUNTY	April 1, 2012-June 30, 2014	\$1,287,044.00
LW41F112FTSWA11	Walters State Comm. College	November 1, 2010-March 31, 2012	\$38,016.00
LW41F121IWRSP12	Walters State Comm. College	October 3, 2011-September 30, 2012	\$88,830.00
LW41ST91DWNEG09	Walters State Comm. College	October 1, 2010-June 30, 2012	\$60,000.00
			\$8,965,478.00
LWIA 03			
LW03P101YOUTH11	KNOX COUNTY	April 1, 2010-June 30, 2012	\$719,278.00
LW03P101ADULT11	KNOX COUNTY	July 1, 2010-June 30, 2012	\$139,291.00
LW03P101DSLWK11	KNOX COUNTY	July 1, 2010-June 30, 2012	\$348,675.00
LW03F111ADULT11	KNOX COUNTY	October 1, 2010-June 30, 2012	\$663,202.00
LW03F111DSLWK11	KNOX COUNTY	October 1, 2010-June 30, 2012	\$925,951.00
LW03P111YOUTH12	KNOX COUNTY	April 1, 2011-June 30, 2013	\$784,253.00
LW03P111ADULT12	KNOX COUNTY	July 1, 2011-June 30, 2013	\$66,524.00
LW03P111DSLWK12	KNOX COUNTY	July 1, 2011-June 30, 2013	\$197,327.00
LW03F121ADULT12	KNOX COUNTY	October 1, 2011-June 30, 2013	\$803,535.00
LW03F121DSLWK12	KNOX COUNTY	October 1, 2011-June 30, 2013	\$832,611.00
LW03P121YOUTH13	KNOX COUNTY	April 1, 2012-June 30, 2014	\$729,823.00
LW42F113NCSWA11	Knox.-Knox Community Action	June 1, 2011-June 30, 2012	\$46,500.00
LW42F121IWRSP12	Knox.-Knox Community Action	January 3, 2012-September 30, 2012	\$59,330.00
LW42F111ADDEI11	Knox.-Knox Community Action	October 1, 2011-September 30, 2014	\$480,000.00
LW42ST91DWNEG09	Knox.-Knox Community Action	October 1, 2010-June 30, 2012	\$59,003.00
LW42F111DWNEG11	Knox.-Knox Community Action	May 16, 2011-March 31, 2012	\$155,293.00
			\$7,010,596.00

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 04			
LW04P101YOUTH11	ROANE COUNTY	April 1, 2010-June 30, 2012	\$1,297,217.00
LW04P101ADULT11	ROANE COUNTY	July 1, 2010-June 30, 2012	\$217,612.00
LW04P101DSLWK11	ROANE COUNTY	July 1, 2010-June 30, 2012	\$269,525.00
LW04F111ADULT11	ROANE COUNTY	October 1, 2010-June 30, 2012	\$1,036,110.00
LW04F111DSLWK11	ROANE COUNTY	October 1, 2010-June 30, 2012	\$715,760.00
LW04P111YOUTH12	ROANE COUNTY	April 1, 2011-June 30, 2013	\$1,212,879.00
LW04P111ADULT12	ROANE COUNTY	July 1, 2011-June 30, 2013	\$90,308.00
LW04P111DSLWK12	ROANE COUNTY	July 1, 2011-June 30, 2013	\$170,544.00
LW04F121ADULT12	ROANE COUNTY	October 1, 2011-June 30, 2013	\$1,090,869.00
LW04F121DSLWK12	ROANE COUNTY	October 1, 2011-June 30, 2013	\$719,605.00
LW04P121YOUTH13	ROANE COUNTY	April 1, 2012-June 30, 2014	\$1,161,169.00
LW39F121IWRSP12	East TN H. R.A.	February 16, 2012-June 30, 2012	\$67,580.00
LW39ST91DWNEG09	East TN H. R.A.	October 1, 2010-June 30, 2012	\$132,000.00
			\$8,181,178.00
LWIA 05			
LW05P101YOUTH11	HAMILTON COUNTY	April 1, 2010-June 30, 2012	\$1,436,205.00
LW05P101ADULT11	HAMILTON COUNTY	July 1, 2010-June 30, 2012	\$241,777.00
LW05P101DSLWK11	HAMILTON COUNTY	July 1, 2010-June 30, 2012	\$509,085.00
LW05F111ADULT11	HAMILTON COUNTY	October 1, 2010-June 30, 2012	\$1,151,162.00
LW05F111DSLWK11	HAMILTON COUNTY	October 1, 2010-June 30, 2012	\$1,351,944.00
LW05P111YOUTH12	HAMILTON COUNTY	April 1, 2011-June 30, 2013	\$1,405,232.00
LW05P111ADULT12	HAMILTON COUNTY	July 1, 2011-June 30, 2013	\$104,986.00
LW05P111DSLWK12	HAMILTON COUNTY	July 1, 2011-June 30, 2013	\$277,407.00
LW05F121ADULT12	HAMILTON COUNTY	October 1, 2011-June 30, 2013	\$1,268,158.00
LW05F121DSLWK12	HAMILTON COUNTY	October 1, 2011-June 30, 2013	\$1,170,506.00
LW05P121YOUTH13	HAMILTON COUNTY	April 1, 2012-June 30, 2014	\$1,361,125.00
LW52P091NCNTV10	S/E TN Develop.District	July 1, 2011-June 30, 2012	\$60,000.00
LW52P111CRSWA12	S/E TN Develop.District	July 1, 2011-June 30, 2012	\$78,750.00
LW52P091JCRSP10	S/E TN Develop.District	Feb. 1, 2012-June 30, 2012	\$73,053.83
LW52F101JCRSP10	S/E TN Develop.District	Feb. 1, 2012-June 30, 2012	\$137,346.17
LW52F121IWRSP12	S/E TN Develop.District	October 21, 2011-September 30, 2012	\$100,000.00
LW52F122JCRSP12	S/E TN Develop.District	Feb. 1, 2012-June 30, 2013	\$100,000.00
LW52P091NCNTV10	S/E TN Develop.District	July 1, 2011-June 30, 2012	\$60,000.00
			\$10,886,737.00

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 06			
LW06P101YOUTH11	GRUNDY COUNTY	April 1, 2010-June 30, 2012	\$610,393.00
LW06P101ADULT11	GRUNDY COUNTY	July 1, 2010-June 30, 2012	\$107,337.00
LW06P101DSLWK11	GRUNDY COUNTY	July 1, 2010-June 30, 2012	\$126,159.00
LW06F111ADULT11	FRANKLIN COUNTY	October 1, 2010-June 30, 2012	\$511,060.00
LW06F111DSLWK11	FRANKLIN COUNTY	October 1, 2010-June 30, 2012	\$335,033.00
LW06P111YOUTH12	FRANKLIN COUNTY	April 1, 2011-June 30, 2013	\$590,377.00
LW06P111ADULT12	FRANKLIN COUNTY	July 1, 2011-June 30, 2013	\$46,118.00
LW06P111DSLWK12	FRANKLIN COUNTY	July 1, 2011-June 30, 2013	\$98,283.00
LW06F121ADULT12	FRANKLIN COUNTY	October 1, 2011-June 30, 2013	\$557,076.00
LW06F121DSLWK12	FRANKLIN COUNTY	October 1, 2011-June 30, 2013	\$414,699.00
LW06P121YOUTH13	FRANKLIN COUNTY	April 1, 2012-June 30, 2014	\$569,546.00
LW43F112SSSWA11	Workforce Solutions	October 1, 2010-October 15, 2012	\$75,113.00
LW43P111IWRSP12	Workforce Solutions	October 3, 2011-September 30, 2012	\$64,872.00
			\$4,106,066.00
LWIA 07			
LW07P101YOUTH11	PUTNAM COUNTY	April 1, 2010-June 30, 2012	\$752,135.00
LW07P101ADULT11	PUTNAM COUNTY	July 1, 2010-June 30, 2012	\$132,429.00
LW07P101DSLWK11	PUTNAM COUNTY	July 1, 2010-June 30, 2012	\$196,979.00
LW07F111ADULT11	PUTNAM COUNTY	October 1, 2010-June 30, 2012	\$630,532.00
LW07F111DSLWK11	PUTNAM COUNTY	October 1, 2010-June 30, 2012	\$523,104.00
LW07P111YOUTH12	PUTNAM COUNTY	April 1, 2011-June 30, 2013	\$658,403.00
LW07P111ADULT12	PUTNAM COUNTY	July 1, 2011-June 30, 2013	\$51,330.00
LW07P111DSLWK12	PUTNAM COUNTY	July 1, 2011-June 30, 2013	\$91,862.00
LW07F121ADULT12	PUTNAM COUNTY	October 1, 2011-June 30, 2013	\$620,026.00
LW07F121DSLWK12	PUTNAM COUNTY	October 1, 2011-June 30, 2013	\$387,608.00
LW07P121YOUTH13	PUTNAM COUNTY	April 1, 2012-June 30, 2014	\$619,751.00
LW40F112SSSWA11	Upper Cumberland H.R.A.	July 1, 2011-June 30, 2012	\$99,220.00
LW40F113SSSWA11	Upper Cumberland H.R.A.	April 1, 2011-April 30, 2012	\$110,000.00
LW40F114NCSWA11	Upper Cumberland H.R.A.	Jan. 1, 2012-December 31, 2012	\$15,000.00
LW40F121JCRSP12	Upper Cumberland H.R.A.	December 19, 2011-June 30, 2012	\$12,000.00
LW40F122IWRSP12	Upper Cumberland H.R.A.	January 3, 2012-September 30, 2012	\$61,780.00
LW40F111DWNEG11	Upper Cumberland H.R.A.	May 16, 2011-March 31, 2012	\$152,293.00
			\$5,114,452.00

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 08			
LW08P101YOUTH11	HUMPHREYS COUNTY	April 1, 2010-June 30, 2012	\$1,285,007.00
LW08P101ADULT11	HUMPHREYS COUNTY	July 1, 2010-June 30, 2012	\$212,154.00
LW08P101DSLWK11	HUMPHREYS COUNTY	July 1, 2010-June 30, 2012	\$304,421.00
LW08F111ADULT11	HOUSTON COUNTY	October 1, 2010-June 30, 2012	\$1,010,121.00
LW08F111DSLWK11	HOUSTON COUNTY	October 1, 2010-June 30, 2012	\$808,431.00
LW08P111YOUTH12	HOUSTON COUNTY	April 1, 2011-June 30, 2013	\$1,290,275.00
LW08P111ADULT12	HOUSTON COUNTY	July 1, 2011-June 30, 2013	\$94,581.00
LW08P111DSLWK12	HOUSTON COUNTY	July 1, 2011-June 30, 2013	\$210,391.00
LW08F121ADULT12	HOUSTON COUNTY	October 1, 2011-June 30, 2013	\$1,142,542.00
LW08F121DSLWK12	HOUSTON COUNTY	October 1, 2011-June 30, 2013	\$887,736.00
LW08P121YOUTH13	HOUSTON COUNTY	April 1, 2012-June 30, 2014	\$1,252,658.00
LW48F112FTSWA11	Workforce Essentials, Inc.	November 1, 2010-June 30, 2012	\$218,460.00
LW48F114NCSWA11	Workforce Essentials, Inc.	Jan. 1, 2012-December 31, 2012	\$67,500.00
LW48P102DWRSP11	Workforce Essentials, Inc.	Sep.1, 2010-Dec. 31, 2012	\$489,000.00
LW48F121IWRSP12	Workforce Essentials, Inc.	October 24, 2011-September 30, 2012	\$107,827.00
LW48F111ADDEI11	Workforce Essentials, Inc.	October 1, 2011-September 30, 2014	\$480,000.00
LW48ST91DWNEG09	Workforce Essentials, Inc.	October 1, 2010-June 30, 2012	\$18,457.00
			\$9,879,561.00
LWIA 09			
LW09P101YOUTH11	METRO NASHVILLE &	April 1, 2010-June 30, 2012	\$1,940,047.00
LW09P101ADULT11	METRO NASHVILLE &	July 1, 2010-June 30, 2012	\$337,221.00
LW09P101DSLWK11	METRO NASHVILLE &	July 1, 2010-June 30, 2012	\$619,202.00
LW09F111ADULT11	METRO NASHVILLE &	Oct. 1, 2010-June 30, 2012	\$1,605,598.00
LW09F111DSLWK11	METRO NASHVILLE &	Oct. 1, 2010-June 30, 2012	\$1,644,373.00
LW09P111YOUTH12	METRO NASHVILLE &	April 1, 2011-June 30, 2013	\$2,039,782.00
LW09P111ADULT12	METRO NASHVILLE &	July 1, 2011-June 30, 2013	\$156,998.00
LW09P111DSLWK12	METRO NASHVILLE &	July 1, 2011-June 30, 2013	\$582,683.00
LW09F121ADULT12	METRO NASHVILLE &	October 1, 2011-June 30, 2013	\$1,896,460.00
LW09F121DSLWK12	METRO NASHVILLE &	October 1, 2011-June 30, 2013	\$2,458,611.00
LW09P121YOUTH13	METRO NASHVILLE &	April 1, 2012-June 30, 2014	\$2,038,772.00
LW09F113MNSWA11	METRO NASHVILLE &	October 1, 2011-September 30, 2012	\$8,000.00
LW09F114NCSWA11	METRO NASHVILLE &	Jan. 1, 2012-December 31, 2012	\$53,500.00
LW09P111IWRSP12	METRO NASHVILLE &	October 1, 2011-September 30, 2012	\$100,000.00
LW09P091NCNTV10	METRO NASHVILLE &	July 20, 2011-June 30, 2012	\$110,000.00
			\$15,591,247.00

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 10			
LW10P101YOUTH11	HICKMAN COUNTY	April 1, 2010-June 30, 2012	\$881,810.00
LW10P101ADULT11	HICKMAN COUNTY	July 1, 2010-June 30, 2012	\$147,268.00
LW10P101DSLWK11	HICKMAN COUNTY	July 1, 2010-June 30, 2012	\$301,334.00
LW10F111DSLWK11	HICKMAN COUNTY	Oct. 1, 2010-June 30, 2012	\$800,233.00
LW10P111YOUTH12	HICKMAN COUNTY	April 1, 2011-June 30, 2013	\$771,918.00
LW10P111ADULT12	HICKMAN COUNTY	July 1, 2011-June 30, 2013	\$56,997.00
LW10P111DSLWK12	HICKMAN COUNTY	July 1, 2011-June 30, 2013	\$289,011.00
LW10F121ADULT12	HICKMAN COUNTY	October 1, 2011-June 30, 2013	\$667,268.00
LW10F121DSLWK12	HICKMAN COUNTY	October 1, 2011-June 30, 2013	\$1,219,472.00
LW10P121YOUTH13	HICKMAN COUNTY	April 1, 2012-June 30, 2014	\$710,079.00
LW53F114NCSWA11	S. C.TN Workforce Alliance	Jan. 1, 2012-December 31, 2012	\$87,000.00
LW53F121IWRSP12	S. C.TN Workforce Alliance	December 8, 2011-September 30, 2012	\$73,732.00
LW53P111ADDEI11	S. C.TN Workforce Alliance	October 1, 2011-September 30, 2014	\$479,270.00
LW53ST91DWNEG09	S. C.TN Workforce Alliance	October 1, 2010-June 30, 2012	\$423,500.00
LW53F111DWNEG11	S. C.TN Workforce Alliance	January 1, 2011-December 31, 2012	\$3,000,000.00
LW53F112DWNEG11	S. C.TN Workforce Alliance	May 16, 2011-March 31, 2012	\$706,964.00
			\$10,615,856.00
LWIA 11			
LW11P101YOUTH11	CHESTER COUNTY	April 1, 2010-June 30, 2012	\$1,188,638.00
LW11P101ADULT11	CHESTER COUNTY	July 1, 2010-June 30, 2012	\$196,613.00
LW11P101DSLWK11	CHESTER COUNTY	July 1, 2010-June 30, 2012	\$329,348.00
LW11F111ADULT11	CHESTER COUNTY	Oct. 1, 2010-June 30, 2012	\$936,129.00
LW11F111DSLWK11	CHESTER COUNTY	Oct. 1, 2010-June 30, 2012	\$874,626.00
LW11P111YOUTH12	CHESTER COUNTY	April 1, 2011-June 30, 2013	\$793,283.00
LW11P111ADULT12	CHESTER COUNTY	July 1, 2011-June 30, 2013	\$57,110.00
LW11P111DSLWK12	CHESTER COUNTY	July 1, 2011-June 30, 2013	\$143,152.00
LW11F121ADULT12	CHESTER COUNTY	October 1, 2011-June 30, 2013	\$689,867.00
LW11F121DSLWK12	CHESTER COUNTY	October 1, 2011-June 30, 2013	\$604,023.00
LW11P121YOUTH13	CHESTER COUNTY	April 1, 2012-June 30, 2014	\$752,772.00
LW45F113ADSWA11	Southwest H. R. A.	May 1, 2011-December 31, 2012	\$4,376.35
LW45P111IWRSP12	Southwest H. R. A.	April 24, 2012-Sep.30, 2012	\$25,000.00
LW45F121IWRSP12	Southwest H. R. A.	November 1, 2011-September 30, 2012	\$75,000.00
LW45P091NCNTV10	Southwest H. R. A.	April 13, 2012-June 30, 2012	\$96,000.00
LW45ST91DWNEG09	Southwest H. R. A.	October 1, 2010-June 30, 2012	\$59,400.00
			\$6,825,337.35

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 12			
LW12P101YOUTH11	DYER COUNTY	April 1, 2010-June 30, 2012	\$763,632.00
LW12P101ADULT11	DYER COUNTY	July 1, 2010-June 30, 2012	\$123,040.00
LW12P101DSLWK11	DYER COUNTY	July 1, 2010-June 30, 2012	\$234,656.00
LW12F111ADULT11	DYER COUNTY	Oct. 1, 2010-June 30, 2012	\$585,823.00
LW12F111DSLWK11	DYER COUNTY	Oct. 1, 2010-June 30, 2012	\$623,159.00
LW12P111YOUTH12	DYER COUNTY	April 1, 2011-June 30, 2013	\$1,062,908.00
LW12P111ADULT12	DYER COUNTY	July 1, 2011-June 30, 2013	\$77,365.00
LW12P111DSLWK12	DYER COUNTY	July 1, 2011-June 30, 2013	\$190,202.00
LW12F121ADULT12	DYER COUNTY	October 1, 2011-June 30, 2013	\$934,550.00
LW12F121DSLWK12	DYER COUNTY	October 1, 2011-June 30, 2013	\$802,551.00
LW12P121YOUTH13	DYER COUNTY	April 1, 2012-June 30, 2014	\$1,016,921.00
LW50F112ADSWA11	Dyersburg State Comm.Coll.	January 1, 2011-June 30, 2012	\$240,247.00
LW50F114NCSWA11	Dyersburg State Comm.Coll.	July 1, 2011-June 30, 2012	\$32,500.00
LW50F115DWSWA11	Dyersburg State Comm.Coll.	July 1, 2011-December 31, 2012	\$47,323.65
LW50F116MNSWA11	Dyersburg State Comm.Coll.	July 12, 2011-March 31, 2013	\$58,500.00
LW50F103DWRSP10	April 13, 2012-June 30, 2012	April 13, 2012-June 30, 2012	\$150,000.00
LW50F113DWRSP11	Dyersburg State Comm.Coll.	July 12, 2011-March 31, 2013	\$685,000.00
LW50F121IWRSP12	Dyersburg State Comm.Coll.	February 16, 2012-September 30, 2012	\$68,993.00
LW50ST91DWNEG09	Dyersburg State Comm.Coll.	October 1, 2010-June 30, 2012	\$190,817.00
LW50F111DWNEG11	Dyersburg State Comm.Coll.	May 16, 2011-March 30, 2012	\$673,377.00
LW50P111DWNEG12	Dyersburg State Comm.Coll.	July 1, 2011-June 30, 2013	\$689,500.00
LW50F121DWNEG12	Dyersburg State Comm.Coll.	October 1, 2011-June 30, 2013	\$620,206.00
			\$9,871,270.65

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability
LWIA 13			
LW13P101YOUTH11	CITY OF MEMPHIS	April 1, 2010-June 30, 2012	\$2,807,161.00
LW13P101ADULT11	CITY OF MEMPHIS	July 1, 2010-June 30, 2012	\$434,992.00
LW13P101DSLWK11	CITY OF MEMPHIS	July 1, 2010-June 30, 2012	\$619,735.00
LW13F111ADULT11	CITY OF MEMPHIS	Oct. 1, 2010-June 30, 2012	\$2,071,116.00
LW13F111DSLWK11	CITY OF MEMPHIS	Oct. 1, 2010-June 30, 2012	\$1,645,790.00
LW13P111YOUTH12	CITY OF MEMPHIS	April 1, 2011-June 30, 2013	\$2,683,070.00
LW13P111ADULT12	CITY OF MEMPHIS	April 1, 2011-June 30, 2013	\$180,570.00
LW13P111DSLWK12	CITY OF MEMPHIS	July 1, 2011-June 30, 2013	\$413,941.00
LW13F121ADULT12	CITY OF MEMPHIS	October 1, 2011-June 30, 2013	\$2,152,436.00
LW13F121DSLWK12	CITY OF MEMPHIS	October 1, 2011-June 30, 2013	\$1,723,611.00
LW13F121IWRSP12	CITY OF MEMPHIS	December 7, 2011-September 30, 2012	\$90,000.00
LW13P091NCNTV10	CITY OF MEMPHIS	August 30, 2011-June 30, 2012	\$235,000.00
LW13P092NCNTV10	CITY OF MEMPHIS	May 1, 2012-June 30, 2012	\$7,500.00
LW13F111DWNeg11	CITY OF MEMPHIS	May 16, 2011-March 31, 2012	\$270,218.00
LW13P111ADDEI11	CITY OF MEMPHIS	October 1, 2011-September 30, 2014	\$425,000.00
			\$15,760,140.00
Miscellaneous			
LW15P111CRSWA12	TN Board of Regents	July 1, 2011-June 30, 2012	\$166,000.00
LW17F111DWRSP11	TN AFL-CIO-LC	June 30, 2010-June 30, 2012	\$200,000.00
LW18P111ADSWA12	THE UNIVERSITY OF MEMPHIS	July 1, 2011-June 30, 2012	\$290,527.00
LW18P111ADDEI11	THE UNIVERSITY OF MEMPHIS	October 1, 2011-September 30, 2014	\$145,399.00
LW61P091NCNTV10	TN Ass. of Bus. Foundation	July 1, 2010-June 30, 2012	\$100,000.00
LW62P091NCNTV10	Scott County	August 1, 2011-June 30, 2012	\$15,000.00
LW63P091NCNTV10	TN Technology Center in Nashville	October 1, 2011-June 30, 2012	\$50,000.00
LW64F101DWSWA10	NICUSA, Inc.	April 1, 2011-June 30, 2012	\$53,000.00
			\$1,019,926.00
		TOTAL ATTACHMENT A	\$120,385,078.00
Prepared by Mahrou Fatheddin, for questions please call 741-5288			

DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT				
ANNUAL AGREEMENT MONITORING INFORMATION				
ATTACHMENT (B)				
Dated September 19, 2012				
Contract Number	Contractor Name	Grant Contract Term	Maximum Liability	New/Mod
LWIA 01				
LW01P121ADULT13	SULLIVAN COUNTY	July 1, 2012-June 30, 2014	\$64,491.00	New
LW01P121DSLWK13	SULLIVAN COUNTY	July 1, 2012-June 30, 2014	\$119,355.00	New
LW49ST91DWNEG09	Alliance for Bus.&Training	October 1, 2010-September 30, 2012	\$203,500.00	Mod
			\$387,346.00	
LWIA 02				
LW02P121ADULT13	HAWKINS COUNTY	July 1, 2012-June 30, 2014	\$95,267.00	New
LW02P121DSLWK13	HAWKINS COUNTY	July 1, 2012-June 30, 2014	\$157,784.00	New
LW41ST91DWNEG09	Walters State Comm. College	October 1, 2010-September 30, 2012	\$30,000.00	Mod
			\$283,051.00	
LWIA 03				
LW03P121ADULT13	KNOX COUNTY	July 1, 2012-June 30, 2014	\$62,409.00	New
LW03P121DSLWK13	KNOX COUNTY	July 1, 2012-June 30, 2014	\$115,033.00	New
LW42ST91DWNEG09	Knox.-Knox Community Action	October 1, 2010-September 30, 2012	\$59,003.00	Mod
			\$236,445.00	
LWIA 04				
LW04P121ADULT13	ROANE COUNTY	July 1, 2012-June 30, 2014	\$86,698.00	New
LW04P121DSLWK13	ROANE COUNTY	July 1, 2012-June 30, 2014	\$130,530.00	New
LW39F121IWRSP12	East TN H. R.A.	February 16, 2012-September 30, 2012	\$67,580.00	Mod
LW39F122JCRSP12	East TN H. R.A.	August 23, 2012-June 30, 2013	\$8,800.00	New
LW39ST91DWNEG09	East TN H. R.A.	October 1, 2010-September 30, 2012	\$77,360.00	Mod
			\$370,968.00	

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability	New/Mod
LWIA 05				
LW05P121ADULT13	HAMILTON COUNTY	July 1, 2012-June 30, 2014	\$101,970.00	New
LW05P121DSLWK13	HAMILTON COUNTY	July 1, 2012-June 30, 2014	\$135,408.00	New
LW52F121IWRSP12	S/E TN Develop.District	October 21, 2011-September 30, 2012	\$86,923.00	Mod
LW52F123JCRSP12	S/E TN Develop.District	July 15, 2012-June 30, 2013	\$200,000.00	New
			\$524,301.00	
LWIA 06				
LW06P121ADULT13	FRANKLIN COUNTY	July 1, 2012-June 30, 2014	\$44,626.00	New
LW06P121DSLWK13	FRANKLIN COUNTY	July 1, 2012-June 30, 2014	\$50,841.00	New
LW43F112SSSWA11	Workforce Solutions	October 1, 2010-October 15, 2012	\$75,113.00	Mod
			\$170,580.00	
LWIA 07				
LW07P121ADULT13	PUTNAM COUNTY	July 1, 2012-June 30, 2014	\$48,953.00	New
LW07P121DSLWK13	PUTNAM COUNTY	July 1, 2012-June 30, 2014	\$75,948.00	New
			\$124,901.00	
LWIA 08				
LW08P121ADULT13	HOUSTON COUNTY	July 1, 2012-June 30, 2014	\$92,076.00	New
LW08P121DSLWK13	HOUSTON COUNTY	July 1, 2012-June 30, 2014	\$196,193.00	New
			\$288,269.00	
LWIA 09				
LW09P121ADULT13	METRO NASHVILLE &	July 1, 2012-June 30, 2014	\$157,191.00	New
LW09P121DSLWK13	DAVIDSON COUNTY	July 1, 2012-June 30, 2014	\$315,238.00	New
LW09F121JCRSP12	DAVIDSON COUNTY	July 18, 2012-June 30, 2013	\$80,000.00	New
			\$552,429.00	

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability	New/Mod
LWIA 10				
LW10P121ADULT13	HICKMAN COUNTY	July 1, 2012-June 30, 2014	\$52,597.00	New
LW10P121DSLWK13	HICKMAN COUNTY	July 1, 2012-June 30, 2014	\$86,540.00	New
LW53F121IWRSP12	S. C.TN Workforce Alliance	December 8, 2011-September 30, 2012	\$77,226.00	Mod
LW53F122JCRSP12	S. C.TN Workforce Alliance	July 15, 2012-June 30, 2013	\$100,000.00	New
LW53ST91DWNEG09	S. C.TN Workforce Alliance	October 1, 2010-September 30, 2012	\$473,140.00	Mod
			\$789,503.00	
LWIA 11				
LW11P121ADULT13	July 1, 2012-June 30, 2014	July 1, 2012-June 30, 2014	\$54,258.00	New
LW11P121DSLWK13	July 1, 2012-June 30, 2014	July 1, 2012-June 30, 2014	\$98,179.00	New
LW45P111NCNTV12	Southwest H. R. A.	July 1, 2012-June 30, 2013	\$110,000.00	New
LW45ST91DWNEG09	Southwest H. R. A.	October 1, 2010-September 30, 2012	\$59,400.00	Mod
			\$321,837.00	
LWIA 12				
LW12P111YOUTH12	DYER COUNTY	April 1, 2011-June 30, 2013	\$1,062,908.00	Mod
LW12P121ADULT13	DYER COUNTY	July 1, 2012-June 30, 2014	\$74,245.00	New
LW12P121DSLWK13	DYER COUNTY	July 1, 2012-June 30, 2014	\$273,237.00	New/Mod
LW50F121IWRSP12	Dyersburg State Comm.Coll.	February 16, 2012-September 30, 2012	\$66,003.87	Mod
LW50ST91DWNEG09	Dyersburg State Comm.Coll.	October 1, 2010-September 30, 2012	\$225,817.00	Mod
LW50F121DWNEG12	Dyersburg State Comm.Coll.	October 1, 2011-June 30, 2013	\$2,707,800.00	Mod
			\$4,410,010.87	
LWIA 13				
LW13F121ADULT12	CITY OF MEMPHIS	October 1, 2011-June 30, 2013	\$2,181,150.00	Mod
LW13F121DSLWK12	CITY OF MEMPHIS	October 1, 2011-June 30, 2013	\$1,746,605.00	Mod
LW13P121YOUTH13	CITY OF MEMPHIS	April 1, 2012-June 30, 2014	\$2,686,989.00	New
			\$6,614,744.00	

Contract Number	Contractor Name	Grant Contract Term	Maximum Liability	New/Mod
Miscellaneous				
LW15P111CRSWA12	TN Board of Regents	July 1, 2011-June 30, 2012	\$171,000.00	Mod
LW17F121DWRSP12	TN AFL-CIO-LC	June 30, 2012-June 29, 2013	\$150,000.00	New
			\$321,000.00	
		TOTAL ATTACHMENT B	\$15,395,384.87	
Prepared by Mahrou Fatheddin, for questions please call 741-5288				

Workforce Investment Act of 1998, Risk Assessment of LWIAs														
Name of Organization: Tennessee Department of Labor and Workforce Development report date 10/1/2012														
Exhibit 7														
LOCAL WORKFORCE INVESTMENT AREAS →		1	2	3	4	5	6	7	8	9	10	11	12	13
Risk Categories		VALUES												
1. FEDERAL FUNDS EXPENDED DURING A FISCAL YEAR:														
< \$25,000	1													
> \$25,000 AND < \$100,000	2													
> \$100,000 AND <\$200,000	3													
> \$200,000 AND <\$300,000	4													
> \$300,000	5	5	5	5	5	5	5	5	5	5	5	5	5	5
2. PERCENT EXPENDED OF FEDERAL GRANTS:														
< 80%	1	1	1	1	1	1	1	1	1	1	1	1	1	1
<60%	2													
< 50%	3													
< 30%	4													
< 10%	5													
3. MONITORING JUDGEMENT RISK:														
Little concern; review on request or monitor's dis	1	1								1			1	
Low concern; review every 5 years	2		2	2			2	2	2		2			
Moderate concern; review every 3-4 years	3													
Fairly high concern; review every 2 years	4													
High audit concern; review annually	5				5	5						5		5
4. INTERNAL CONTROL:														
Average	1	1								1			1	
Minor weaknesses	2		2	2			2	2	2		2			
Some significant weaknesses	3													
Many significant weaknesses c	4				4	4						4		4
SUB-TOTAL		8	10	10	15	15	10	10	10	8	10	15	8	15

Name of Organization: Tennessee Department of Labor and Workforce Development													
LOCAL WORKFORCE INVESTMENT AREAS		1	2	3	4	5	6	7	8	9	10	11	12
Risk Categories		VALUES											
5. RESULTS OF PRIOR MONITORING AND OTHER SITE VISITS:													
No significant findings		1	1	1		1	1			1		1	
Some minor findings		2		2				2	2		2		
Moderate findings or no prior at		3											3
Some significant findings		4			4							4	
Many significant findings		5											
6. NUMBER OF PROGRAMS FOR PERIOD BEING MONITORED:													
Single		1											
2-4		2	2	2	2	2	2	2	2	2	2	2	2
-5-		3											
6-7		4											
8 and over		5											
7. FINANCIAL/BUDGET IMPACT:													
Very little or no impact		1	1							1		1	
Little impact		2		2	2		2	2	2		2		
Moderate impact		3											
High impact		4			4	4						4	4
Very high impact		5											
8. SIZE OF STAFF FOR PERIOD BEING MONITORED:													
Very Small (1-4)		1											
Small (5-8)		2											
Moderate (8-10)		3	3	3	3	3	3	3	3	3	3	3	
Large (11-15)		4		4		4				4			4
Very large (15 and over)		5											
9. MANAGEMENT INPUT/CONCERN:													
Very little		1	1	1		1	1			1		1	
Some		2		2				2	2		2		2
Moderate		3											
Much		4			4							4	
High		5											
SUB-TOTAL			8	9	12	17	12	9	11	11	9	11	17
												8	15

Name of Organization: Tennessee Department of Labor and Workforce Development													40 to 45 - Medium 45 to 55 - High Over 55 - Very High		
LOCAL WORKFORCE INVESTMENT AREAS →		1	2	3	4	5	6	7	8	9	10	11	12	13	
Risk Categories	VALUES														
10. RESULTS OF COLLATERAL CONTACTS, CUSTOMER SURVEYS, ETC.:															
Zero or small indication of risk	1							1			1				
Some indication of risk	2	2		2	2	2				2		2			
Moderate indication of risk	3		3				3		3				3	3	
Large indication of risk	4														
Very large indication of risk	5														
11. BOARD OF DIRECTORS INVOLVEMENT:															
Very active board (provides	1	1	1	1			1	1	1	1	1		1		
Active board (takes interest in financial matters review reports)	2													2	
Moderately effective	3					3						3			
Not very effective (Not sufficiently independent of management)	4				4										
Inactive board (does not m	5														
12. EXPERIENCE WITH STATE/GOVERNMENT CONTRACTS:															
Over 10 years experience	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
Five to ten years experienc	2														
Two to five years experienc	3														
Less than two years experi	4														
Completely new	5														
13. CHANGES IN EQUIPMENT SYSTEMS & STAFF SINCE LAST REVIEW:															
No changes	1														
Moderate changes--low tu	2	2	2	2		2	2	2	2	2	2	2	2	2	
Equipment changes--low t	3														
High turnover	4				4										
High turnover & equipmen	5														

Summary Of WIA Risk
Assessments

Risk Levels (See Outcomes on Last Page:
30 or Less - Very Low
30 to 40 - Low
40 to 45 - Medium
45 to 55 - High
Over 55 - Very High

14. EXPOSURE TO LOSS:															
None	1														
Physical assets	2														
Readily negotiable	3														
Cash	4														
Confidential data	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
SUB-TOTAL		11	12	11	16	13	12	10	12	11	10	13	12	13	
GRAND TOTAL RISK SCORE		27	31	33	48	40	31	31	33	28	31	45	28	43	

**** SEC 184 (a) 4 Monitoring : Each Governor of the state shall conduct on an Annual basis on site monitoring of each Local Area within the state of local government**

Summary of Risk Assessment

LOCAL WORKFORCE INVESTMENT AREAS →	1	2	3	4	5	6	7	8	9	10	11	12	13
	Very Low	Low	Low	Low	Low	Low	Low	Very Low	Very Low	Very Low	Moderate	Low	Medium
Notes: Assumptions/Ratioanle:													
1. Federal Funds Expended during a fiscal year													
All LWIAs will bear the maximum risk for the federal funds expended (>\$300,000)													
2. Percent Expended of Federal Grants													
All LWIAs will expend greater than 50% grants													
3. Monitoring judgement risk													
Under SEC 184 (a) 4 Monitoring: Each Governor of the state shall conduct on an Annual basis on site monitoring of each Local Area within the state or local government.													
This monitoring judgement risk is weighted uniformly across all LWIAs; with emphasis on the note above.													
4. Internal Control													
Uniform Average Control weight applied because of controls in practice.													
5. Results of prior monitoring and other site visits													
Self explanatory													
6. Number of Programs for period being monitored													
This indicates the range number of the main programs being monitored													
7. Financial Budget Impact													
The Financial Budget Impact falls into very Little (or no impact) and Little impact categories; with "fall back"local government funds as secondary to WIA funds													
8. Size of Staff for period being monitored													
The underlying assumption is that Small to Moderate staff will suffice under normal circumstances.													
9. Management Input/Concern													
Self explanatory													
10. Results of collateral contacts, customer surveys, etc													
Zero or small indication of risk to some indication of risk													
11. Board of Directors Involvement													
Self explanatory													
12. Experience with State/Government Contracts													
All LWIAs weighted uniformly													
13. Changes in Equipment Systems & Staff since last review													
Moderate changes - low turnover													
14. Exposure to loss													
Participant confidential data custodianship and management bears maximum risk.													

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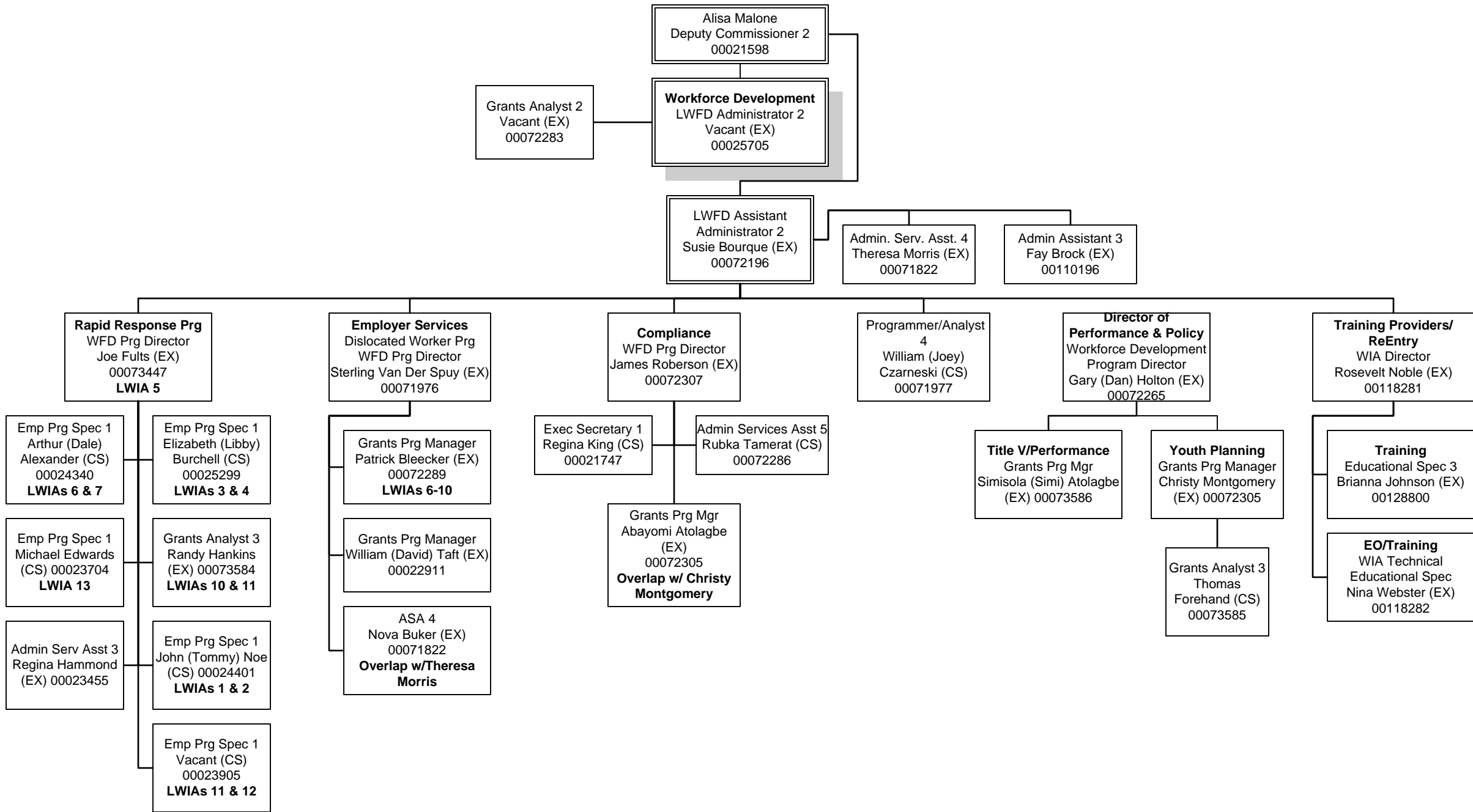
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Contractor	Date Monitoring Report Scheduled	Monitoring Report Date	Date Mon. Report Received	Results of Monitoring Visits Program Year 2010-2011 Bold (yellow fill)= unresolved	Corrective Action Due Date	Date of Local C.A.P. Letter	Department Response Letter Date	Further C.A. Needed?	2nd Corrective Action Due Date	Date of 2nd Local C.A.P. Letter	Department 2nd Response Letter Date	Further C.A. Needed?	Department Final Acceptance Letter Date
Revised:	9/18/2012				N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 10	1/24/2011	2/15/2011	2/18/2011	1. Procedures over property and equipment need improvement 2. Youth Council was not in compliance (not have board member)	3/15/2011	3/14/2011	Apr-11	Yes	N/A	18-May-11	7-Jun-11	No	
LWIA 10 NEG	9/13/2011	9/16/2011	9/20/2011	LWIA accumulated excess cash on hand "As of July 31, 2011, the agency had drawn down \$600,000 on" and NEG contract. "However, at the time total expenses were only \$392, 309.53. As a result, there was excess cash on hand totaling \$207, 690.47"	17-Oct-11	7-Oct-11	11/8/2011	Yes	12/8/2011	11/28/2011	1/9/2011	N/A	
LWIA 10	2/6/2012	3/9/2012	3/9/2012	1. Procedures over equipment inventory need Improvement. (9 items in question.) 2. Youth files could not be located.	4/9/2012	4/9/2012	12-Jun-12	No	N/A	N/A	N/A	N/A	
LWIA 11	3/21/2011	5/17/2011	5/18/2011	1. Reporting procedures need improvement \$182, 248 over reported 2. Contract Management need improvement a. Program cost not allocated properly between programs b. Expenditures not charged to correct contract c. Admin expenditures charged to contracts outside of contract period 3. Discrepancies noted in NEG participant payroll a. One participant overpaid \$190 b. One participant paid for 96 hour one week (record was wrong) 4. LWIA 11 payed a vendor with out an executed contract. 5. Case Management needs improvement a. Several participants in job search, no notes b. One not attempt to contact since 2008 c. Three youth assessment plans not completed 6. Procedures over property and equipment need improvement Four pieces of equipment not located	6/17/2011	6/17/2011	8/29/2011	Yes	10/7/2011	11/4/2011	1/6/2012	Yes	2/15/2012
LWIA 11 NEG	9/26/2011	9/26/2011	10/5/2011	No Findings Reported	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 11	3/19/2012	4/12/2012	5/17/2012	1. LWIA 11 over reported expenditures to TDLWD -- \$172,859.04 2. Unallowable costs charged to grants; questioned costs \$274.40 3. Agency-owned vehicles were used for personal use 4. The appearance of a conflict of interest existed. 5. Deficiencies were noted regarding equipmment and inventory reocrds resulting in question costs of \$749.96 6. Internal monitoring procedures need improvement. 7. Deficiencies were noted regarding case management.	6/17/2012	6/11/2012	8/20/2012	Yes					
LWIA 12	2/28/2011	5/10/2011	5/12/2011	No Findings Reported	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 12 NEG	8/18/2011	8/31/2011	8/31/2011	No Findings Reported	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 12 (NextYr)	1/9/2012	2/6/2012	2/6/2012	No Findings Reported	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 12 NEG	8/8/2012	8/22/2012	8/22/2012	No Findings Reported	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 13	23-Apr-12												
LWIA 13	6/13/2011	7/11/2011	7/12/2011	1. LWIA 13 did not maintain documentation for allocating personnel costs for employees working in more than one program. 2. Case management needs improvement.	8/11/2011	8/11/2011	8/26/2011	N/A	N/A	N/A	N/A	N/A	

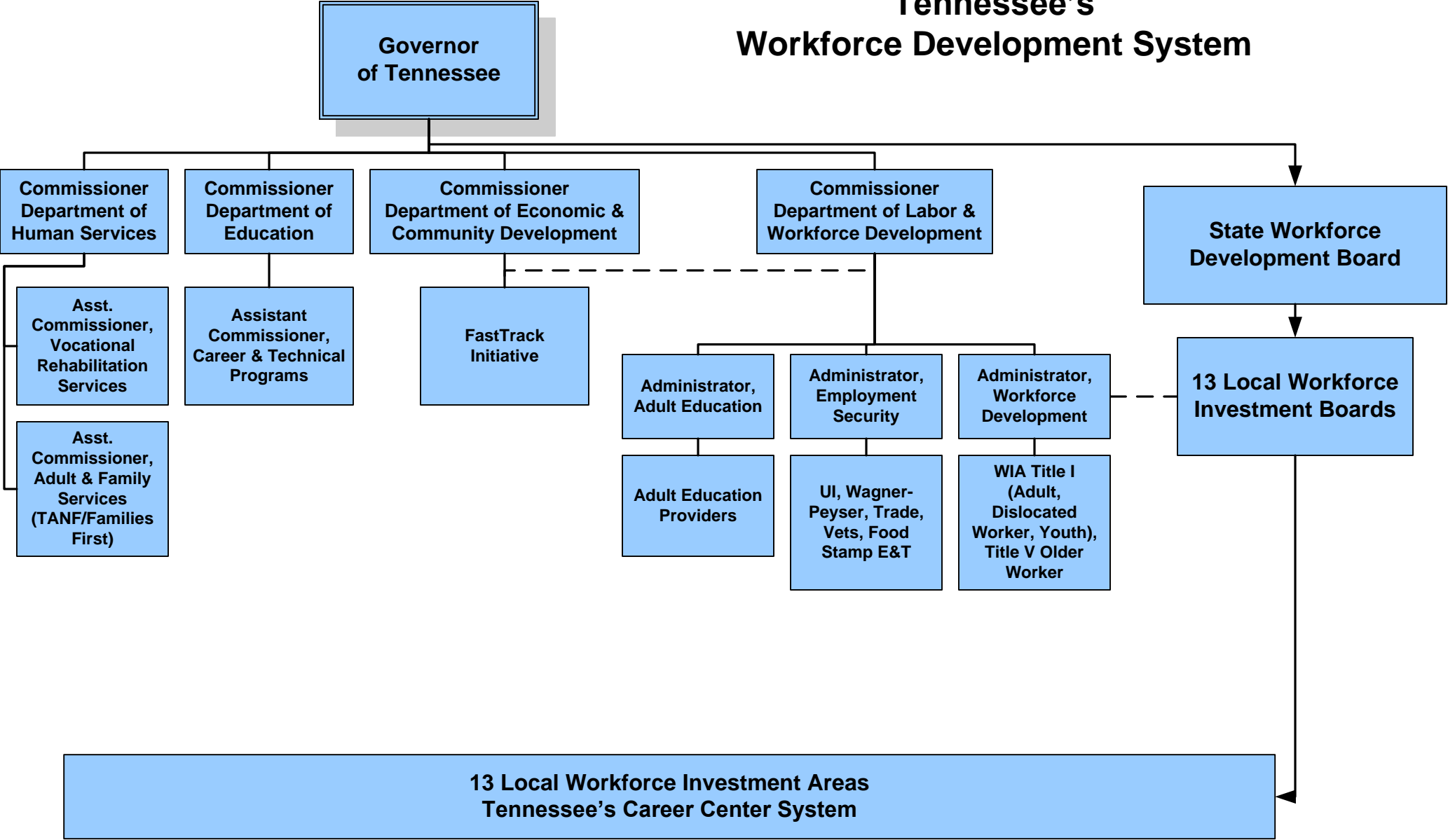
Contractor	Date Monitoring Scheduled	Monitoring Report Date	Date Mon. Report Received	Results of Monitoring Visits Program Year 2010-2011 Bold (yellow fill)= unresolved	Corrective Action Due Date	Date of Local C.A.P. Letter	Department Response Letter Date	Further C.A. Needed?	2nd Corrective Action Due Date	Date of 2nd Local C.A.P. Letter	Department 2nd Response Letter Date	Further C.A. Needed?	Department Final Acceptance Letter Date
Revised:	9/18/2012				N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
LWIA 13 (NEG)	11/15/2011	11/29/2011	11/30/2011	Monthly expenditure reports were not submitted as required As of Nov. 16, 2011, LWIA 13 had submitted the Oct. 2011 Monthly Report of Expenditures for contract number LW13F111DWNNEG11. The contract period was May 16, 2011, through Nov. 16, 2011	#####	12/27/2011	2/6/2012	N/A	N/A	N/A	N/A	N/A	
LWIA 13	5/2/2012	6/6/2012		Finding: Allowable Costs/Cost Principles: Unallowed Reimbursement -- \$15,000 in Questioned Costs Disposition -- No resolution of the questioned costs relating to amended costs -- Payments to the consultant did not agree with with terms of the contract. Findings: 1. Expenditures were charged to contracts outside of the contract period.-- \$78,000 plus 2. LWIA 13 did not adhere to the State Comprehensive Travel Regulations -- \$93 plus 3. Procedures over property and equipment need improvement 4. Payments to a consultant did not comply with terms of the contract (see Finding previously mentioned) 5. Case management needs improvement. 6. Sub-contracts did not contain all the required language	6-Jul-12	3-Jul-12	20-Aug-12	Yes					
AFL-CIO	8/30/2011	9/16/2011	9/20/2011	1. Unallowable costs were reported to DOLWD. TN AFL/CIO incurred and reported the costs for bank overdraft fees on contract # LW17ST91DWRSP10. As a result of this deficiency, we question costs of \$210.00. 2. TN AFL/CIO did not comply with the State of Tennessee Comprehensive Travel Regulations. The following deficiencies were noted: a. Breakfast and lunch meals for a conference were charged to the grant This deficiency resulted in question costs of \$226.00. b. Reimbursement for lodging exceeded the allowable State rate. Questioned costs were \$19.08 c. An employee was reimbursed at the 100% per diem on the day of travel instead of the allowable 75%. Questioned costs were \$28.00. d. Room service and in-room movie charges were reimbursed on a hotel bill. Questioned costs were \$57.44.	#####	9/26/2011	10/18/2011	No	N/A	N/A	N/A	N/A	
AFL-CIO	9/25/2012												
Board of Regents	9/13/2010	2/4/2011	2/10/2011	1. Expenditures under reported to TDOLWD expenditures by \$1,656.00 on the June 2010 Monthly Expenditure Report for contract number 09-15-FY9-1CR-STATE. 2. Contracts between Tennessee Board of Regents (TBR) and subcontractors not include all required information. Contracts not contain clauses re: Lobbying, Public Accountability, Public Notice and Records as required. 3. TBR not enter information into eCMATS for all participants that were provided services.	3/4/2011	3/1/2011	3/14/2011	N/A	N/A	N/A	N/A	N/A	

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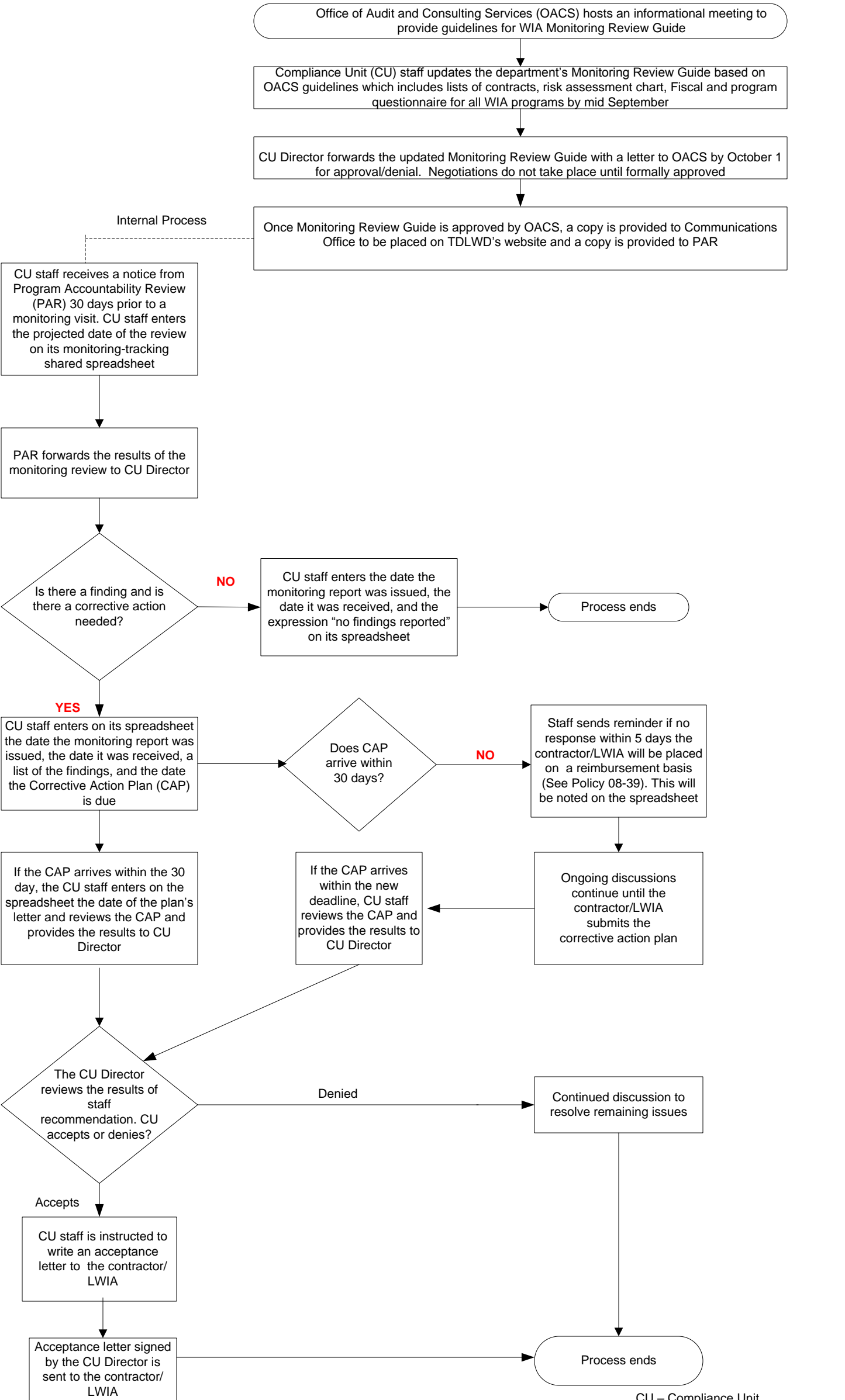
TENNESSEE DEPARTMENT OF LABOR & WORKFORCE DEVELOPMENT
Workforce Development
9/24/2012



**Tennessee's
Workforce Development System**



Grants Monitoring & Corrective Action Process



CU – Compliance Unit
PAR – Program Accountability Review
OACS – Office of Audit & Consulting Services

Tennessee Department of Labor and Workforce Development

SCSEP

ON-SITE PROGRAM MONITORING GUIDE

Project Name: _____ Program Year: _____

SCSEP Funding Level: _____

Number of Authorized Title V Slots: _____

Current SCSEP Enrollment: _____

Date of Visit: _____ Date of Previous Visit: _____

OVERVIEW OF ASSESSMENT

In compliance with Federal requirements, this instrument has been developed for use to assist sub-grantees in carrying out the purposes and provisions of Title V of the Older Americans Act as amended by the Older Americans Act Amendments of 2000 (OAA) and in accordance with the approved sub-grant contract with the TDLWD.

The purpose of this instrument is to assess your program. For each on-site monitoring visit, an assessment will be filed in a report with an evaluation of the grant narrative underscoring for key components

SCSEP V Regulations Specific Program Operations

SCSEP Regulations Specific Financial Management and Reporting

Grant Requirement Administrative Review

Training Site Visits

Each of these four components is covered by a series of specific questions that have been designed to assess program adherence, program effectiveness and program efficiency. However, for ease of use, the rest of this document deliberates the pertinent SCSEP regulations.

Section I:

COORDINATION with WORKFORCE INVESTMENT ACT (WIA) REG. 641.200 – 641.240

641.200 SCSEP is a required partner under WIA, is part of the One-Stop Delivery System, and required to follow all applicable rules under WIA and its regulations. (WIA section 121(b)(1)(B)(vi)(29U.S.C.2841(B)(1)(B)(vi)) and the 29 CFR part 662 subpart B(ss662.200 through 662.280))

Is the Sub-grantee familiar with the WIA requirements and know how the system works?
Yes _____ No _____

Does a MOU exist between the sub-grantee and WIA Local Board?
Yes _____ No _____

- a. If yes, does it contain required financial arrangements and in-kind contributions when possible? Yes _____ No _____
- b. Are applicable SCSEP core services at the comprehensive career center outlined in the MOU? Yes _____ No _____

641.210 SCSEP is required to make arrangements though the One-Stop Delivery System to provide eligible and ineligible individual with access to other activities carried out by WIA partners at the Career Center.

1. Does the sub-grantee distribute Career Center handouts to customers?
Yes _____ No _____

641.220 SCSEP resources are to be used to provide SCSEP services to SCSEP eligible individuals. SCSEP is to refer ineligible individuals to the One-Stop Delivery System for services.

1. If a MOU exists, is a referral process identified and described?
Yes _____ No _____

641.230 In a MOU, reciprocal arrangements can be negotiated between SCSEP and One-Stop Delivery System to accept each others assessment to determine need for services in SCSEP and Adult Programs under Title IB of WIA.

1. Did the sub-grantee choose to arrange a reciprocal arrangement in a MOU?
Yes _____ No _____

641.240 SCSEP eligible participants are not automatically eligible for intensive services under Title I of WIA, local boards may deem SCSEP as satisfying WIA requirements for training services.

1. Did the sub-grantee choose to negotiate such an arrangement in a MOU?
Yes _____ No _____

STATE SENIOR EMPLOYMENT SERVICES COORDINATION PLAN
(the State Plan)
Reg. 641.300 – 641.365

The State Plan is submitted by the governor as an independent document or as part of the WIA Unified Plan. It describes the planning and implementation process for SCSEP services in the State.

1. Does the project have a copy of the latest State Plan?
Yes _____ No _____

Comments:

SERVICES TO PARTICIPANTS
Reg. 641.500 - 615.590

ELIGIBILITY FOR ENROLLMENT IN SCSEP
Reg. 641.500 – 641-510

**With Revised Income Definitions and Income Inclusions and Exclusions for
Determining SCSEP Eligibility**

641.500 States may enter into cross border county enrollment agreements of eligible participants.

641.505 Initial eligibility determined at SCSEP application. Once a SCSEP participant, sub-grantee is responsible for verifying continued income eligibility at least once every 12 months or as circumstances require.

TEGL 12-06
Effective 1-1-2007

Revised Policies

To determine if an individual is low income, Department of Labor regulations provide for the issue of administrative guidance on income definitions and income exclusions and inclusion standards for SCSEP eligibility purposes. On January 1, 2007 TEGL 13-04 was replaced with TEGL 12-06, which include changes in the SCSEP income eligibility guidelines resulting from the enactment Of Public Law 109-365, TEGL 13-04 (Jan. 7, 2005).

Changes in the SCSEP Income Eligibility Guidelines

To calculate income for purposes of SCSEP eligibility after July 1, 2007, the Effective date of the 2006 SCSEP amendments, Public Law 109-365 mandates the following changes in procedures and income inclusions and exclusions.

- The statute mandates exclusion of any income that is:
 - Unemployment compensation
 - A benefit received under Title XVI of the Social Security Act Supplemental Security Income for the Aged, Blind and Disabled-
e.g., Social Security Disability Insurance
 - Payment made to or on behalf of veterans or former members of the Armed Forces under the laws administered by the Secretary of Veterans Affairs
 - Twenty-five percent of a benefit received under title II of the Social Security Act, Federal Old-Age, Survivors and Disability Insurance
- For purposes of eligibility determinations, the statute defines “income” as Income received during the 12-month period that ends on the date of application, or at the option of the grantee, the annualized income for the 6-month period that ends on the date of application.

Clarification of Procedures

Program Eligibility

- Eligibility is limited to low-income persons who are 55 years or older and **unemployed** at the time of application as provided at 502(a)(1) of the 2006 Amendments (OAA).
- To be considered a family of one due to disability appropriate medical documentation must be provided and kept on file, even in remote locations.

Includable Income

- Participant eligibility income includes:
 - Earnings
 - Benefits received under title II of the Social Security Act (of which five percent (5%) will be counted as includable income)
 - veterans' payments
 - Survivor benefits
 - Pension or retirement income
 - Interest Income
 - Dividends
 - Rents, royalties and estates and trusts
 - Education assistance
 - Alimony
 - Financial assistance from outside household
 - Other income

Excludable Income

- Participant eligibility income excludes:
 - Social Security Disability Insurance
 - Unemployment Compensation
 - Twenty-five percent (25%) of a benefit received under title II of the Social Security Act
 - Payment made to or on behalf of veterans or former members of the Armed Forces under laws administered by the Secretary of Veterans Affairs
 - Supplemental Security Income
 - Public assistance
 - Income from other employment and training programs
 - Disability benefits
 - All forms of child support
 - Workers' compensation

- The first \$2,000 of certain per capita fund distributions that are made to Indians pursuant to the Indian Claims Act, P.L. 93-134 and P.L. 97-458.
- Any other income exception required by applicable Federal law—e.g., stipends from programs funded by the Senior Corps of the Corporation for National and Community Service

The Department will **also exclude**, for purposes of SCSEP applicant eligibility, the same income sources that the U.S. Census Bureau's Current Population Survey (CPS) does not count in its official definition of income.

- Capital gains people receive (or losses they incur) from the sale of property, including stocks, bonds, a house, or a car (unless the person engaged in the business of selling such property, in which case the CPS counts the net proceeds as income from self-employment)
- Withdrawals of bank deposits
- Money borrowed
- Tax refunds
- Gifts
- Lump sum inheritances or insurance payments, gambling and lottery earnings

641.510 When the participant is no longer eligible due to an increase in family, income, the participant must be given written notice within 30 days and terminated within 30 days of receipt of notice.

RECRUITMENT OF PARTICIPANTS

Reg. 641.515 - 615.530

641.515 Each grantee or sub-grantee must develop methods of recruitment and selection that assure that the maximum number of eligible individuals will have an opportunity to participate in the program.

SCSEP grantee or sub-grantee must list all community service opportunities with the State Workforce Agency, all appropriate local offices, and must use the One-Stop Delivery System in the recruitment and selection of eligible individuals.

1. Do recruitment and selection procedures reflect the sub-grantee is seeking to enroll:

(a) Minorities? Yes ____ No ____

(b) Indians? Yes ____ No ____

(c) Limited English speaking eligible individuals? Yes ____ No ____

(d) Greatest Economic Need? Yes ____ No ____

2. Does Quarterly Progress Reports indicate equitable participation by all groups noted above? Yes ____ No ____

3. Describe the current method used to fill a vacancy. Does this include notifying state agencies of vacancies?

4. How are participants with the greatest economic need determined?

5. How are participants with the poorest employment prospects identified?

641.520 In selecting eligible individuals for SCSEP participation, priority must be given to individuals who are:

- at least 60 years old
- married to veterans or veterans' spouses who died with a service connected disability
- members of Armed Forces on active duty, who is missing in action
- individuals captured in the line of duty
- people detained by foreign governments
- spouses of veterans who are disabled w/ service
- widows of deceased or disabled veterans.

Sub-grantees must apply priorities as follows:

- Veterans and qualified spouses at least 60 year old
- Others individuals at least 60 years old
- Veterans and qualified spouses 55 – 59
- Other individuals aged 55 – 59

641.525 As defined in 641.515.

641.530 In accordance with 641.520, sub-grantees should select qualified individuals.

1. Is there feasible evidence that the sub-grantee is adhering to the priorities and preferences when examining participant characteristics?

Yes _____ No _____

2. Does the project have a waiting list?

Yes _____ No _____

3. What process does the project use in selecting eligible applicants from the waiting list?

4. Do participant files show accurate computation of family income, using the inclusion and exclusion provisions listed in the SCSEP Regulations?

Yes _____ No _____

5. What are the procedures for immediate or 30-day terminations due to incorrect determination of eligibility?

6. If an applicant disagrees with the findings of ineligibility, how are right-of-appeal procedures explained?

What referrals or other assistance are provided to those found ineligible? How is it documented?

7. When a participant is terminated for cause, is proper documentation in the file?
Yes ____ No ____

8. How is the recertification done and how is confidentiality maintained?

9. How is the recertification linked to other activities, such as the annual physical examination or the reassessments of goals in the IEPs?
- _____
- _____
- _____
- _____
10. Is the Confidential Income Statement used for both application and recertification? Yes _____ No _____
11. Is eligibility documentation in the participants' files? Yes _____ No _____
12. Is there an I-9 Employment Eligibility Verification Form on file for each participant enrolled after November 6, 1986? Yes _____ No _____

SERVICES

Reg. 641.535 - 615.590

641.535 When individuals are selected for participation in SCSEP, The grantee or sub-grantee is responsible for providing the following:

1. Orientation to the SCSEP

- information on project goals and objectives
- community service assignments
- training opportunities
- available supportive services
- free physical examinations
- participant responsibilities and rights
- permitted and prohibited political activities

2. Assessment of Participants

- work history
- skills, interests and talents
- physical capabilities and aptitudes
- need for supportive services
- occupational preferences
- training needs
- potential for performing community service assignment
- potential for transition to unsubsidized employment
 - as necessary but no less than two times in a twelve month period

3. Using the information gathered during the assessment to develop an individual employment plan (IEP), unless already done under title I of WIA, and updating the IEP as necessary to reflect information gathered during the assessments.
4. Placing or arranging for necessary training specific in relation to the participants' community service activities in the community in which they reside (or in a nearby community).
5. Providing or arranging for necessary training specific to the participants' community service assignments.
6. Assisting participants to schedule other training identified in their SCSEP IEPs.
7. Assisting participants in arranging for needed supportive services identified in their SCSEP IEPs.
8. Providing participants with wages and fringe benefits for time spent at assigned community service employment activity.
9. Ensuring participants have safe and healthy working conditions at community service site.
10. Verifying participants' income eligibility at least every 12 months.
11. Assisting participants to obtain unsubsidized employment and if needed, employment counseling in IEP support.
12. Providing appropriate services for participants through the One-Stop delivery System under WIA.
13. Providing counseling for participants' goals and progress as identified in IEDPs.
14. Providing follow-up service for participants placed in unsubsidized employment during first 6 months to better ensure success rate and determine if further follow-up services are needed.
15. Following-up with participants placed in unsubsidized employment during first six months to determine if still employed.
 - Provide service that according to administrative guidelines that may be issued by DOL.
 - Grantees /Sub- Grantees cannot use SCSEP funds to provide only job search assistance or job referral services. May job search assistance, job referral services, job club if participants are enrolled in SCSEP and assigned to a community service assignment.
16. Is orientation provided to new participants at the time of enrollment or prior to the first day at a host agency and compensated?

Yes _____ No _____

17. Is orientation provided to host agencies and supervisors? Are written materials provided? Explain?

18. Is a Participant Handbook provided with the following information included?

- a. Project's grievance procedure and personnel policies
Yes _____ No _____
- b. (b) Participant Enrollment Agreement
Yes _____ No _____
- c. Permitted and prohibited political activities
Yes _____ No _____
- d. Age Discrimination and Employment Act (ADEA) information
Yes _____ No _____
- e. American with Disabilities Act (ADA) information
Yes _____ No _____
- f. Drug-Free Workplace Act
Yes _____ No _____

19. In participant's file, is there a copy of the Participant Task Form developed, dated and signed on or before the Participant's first day at host agency?

Yes _____ No _____

20. Does the project assess each new participant to determine the most suitable SCSEP assignment for that individual?

Yes _____ No _____

21. Is the assessment made in consultation with the participant and does it consider the individual's preference of occupational category, work history, skills, aptitudes, and potential for performing proposed community service duties?

Yes _____ No _____

22. Does the assessment consider the potential for transition to unsubsidized employment?

Yes _____ No _____

23. Does the project seek a community service employment assignment which permits the most effective use of each participant's skills and aptitudes?

Yes _____ No _____

24. Does the project evaluate each Participant to determine potential for transition to unsubsidized employment and the appropriateness of participant's current community service employment assignment? Yes ____ No ____

Does the project develop alternate assignments, whenever feasible, if it is determined that a different community service employment assignment will provide greater opportunity for the use of the participant's skills and aptitudes, providing work experience which will enhance the potential for unsubsidized employment? Yes ____ No ____

25. Are the assessments and evaluations required by this section documented and part of the participant file? Yes ____ No ____

26. Is an Individual Employment Plan (IEP) developed within 3 months of enrollment for each participant and does it include the assessment? Yes ____ No ____

27. Does the project evaluate the progress of participant at least twice a year? Yes ____ No ____

28. Is the IEP developed in consultation with the participant and is the principle of shared responsibility understood? (Explain) Yes ____ No ____

29. Are specific goals and completion dates included? Yes ____ No ____

30. Are progress review dates noted? Yes ____ No ____

31. Are there signed agreements between participant and project? Yes ____ No ____

32. Is the original IEP maintained in the participant's file? Yes ____ No ____

33. Are host agency sites aware of participant's goals and their role in assisting them to accomplish the goals? Yes ____ No ____

(Explain.)

Supervision

1. Are participants receiving daily supervision at training sites?
Yes _____ No _____
2. Do supervisors ensure that no participant works more than the compensated number of hours per day?
Yes _____ No _____
3. Are participants compensated for extra hours?
Yes _____ No _____

PARTICIPANT SUPPORTIVE SERVICES

Reg. 641.545

641.545 The grantee or subgrantee may provide or arrange for support services to assist participants in participating in SCSEP such as paying transportation, health care/medical, job related, i.e.: shoes, badges, uniforms, eyeglasses, tools, child care, adult care, temp shelter, and follow-up services costs. To the extent feasible, the grantee or subgrantee should provide for payment of these expenses from other resources.

1. Are supportive services being provided to assist participants in subsidized and, where appropriate, in unsubsidized employment? Yes _____ No _____
2. Are supportive services obtained at no cost or reduced cost to the program?
(Explain arrangement) Yes _____ No _____

3. Are grant funds used to subsidize participant's transportation cost?
Yes _____ No _____
4. Is transportation obtained at no cost

or reduced cost to the program?
(Explain arrangement)

Yes ____ No ____

TRAINING

Reg. 641.540

641.540 The grantee or subgrantee must arrange skill training that is realistic and consistent w/the participant IEP and that the most effective use of skills and talents. This does not apply to training received as part of community service assignment.

Training may be:

- provided during or after community service activity,
- may be seminars, classroom, instruction, individual instruction, OJT, or other appropriate program such as WIA,
- obtained through OJT is encouraged,

Costs should be shouldered at no cost to SCSEP by other available resources as often as possible,

Essentials such as supplies may be paid by the grantee/sub-grantee. Participants may be paid wages while in training.

Related room and board and travel cost associated may be paid by grantee or sub-grantee and is not prohibited or limited should the participant want to pursue directed training during hours not assigned to community service activities.

1. Is training being provided in job seeking skills in preparation for unsubsidized placement? Yes ____ No ____

a. If so, is training obtained at no cost or reduced cost, e.g. WIA, Voc Rehab., etc when possible? (Explain arrangement)

2. How is the assessment process used to determine individual participant training/education needs?
- _____
- _____
- _____
3. Does training/education fit into, and has it been made a part of, participants' IEPs? Yes _____ No _____
4. Is host agency community service activities provided, clearly spelled out in participant job description and IDP and not confused with training? Yes _____ No _____
5. How are participant training records kept?
- _____
- _____
- _____
- _____
- _____
6. Have all training/education costs expended during the current year been described in detailed sub-grant work-plan/budget or been approved in writing by the state coordinator? Yes _____ No _____
7. Are participant meetings held quarterly and are they documented? Yes _____ No _____
8. Do these meetings include agendas and sign-in sheets? Yes _____ No _____
9. Are host agency supervisors or other non-participant parties involved? Yes _____ No _____

How are training hours tracked? (Explain.)

PLACEMENT INTO UNSUBSIDIZED EMPLOYMENT

Reg. 641.550 – 641.560

641.550 Because one of SCSEP's goals is to foster economic self sufficiency, grantees and sub-grantees should place as many participants as possible into unsubsidized placement in accordance with IEP. For those with an IEP goal of unsubsidized placement, project sponsors will employ reasonable means to place participants into unsubsidized employment. Project sponsors should contact private and public employers directly and through the One Stop Delivery System to develop or identify suitable unsubsidized employment opportunities and should encourage host agencies to employ participants in their regular work forces

641.555 For participants placed in unsubsidized employment, the grantee must make contact during first 6 months to determine if support services are needed to remain in the job.

Grantee must contact participant 6 months after placement to determine if they have been retained by employer or grantee may use wage records to verify continued employment.

Other follow-up may be required by Department.

TEGL 30-06 June 21, 2007

Follow-ups and Quarter of Exit

- Follow-up 1 delivers the customer satisfaction survey and collects information on SCSEP placement. The earliest it can be done is 30 days after exit. It may have to be delayed until 90 days after exit to determine if the participant has had a total of 30 days of employment with any employer(s) within the first 90 days after exit.
- Follow-up 2 "Retention in unsubsidized employment for six months" is defined by the following formula: of those who are employed in the first quarter after the exit quarter, the number of adult participants who are employed in both the second and third quarters after the exit quarter divided by the number of adult participants who exit during the quarter.

- Follow up 3 determines if there are wages earned in the first, second and third quarters after the quarters of exit, total earnings in the second quarter plus total earnings in the third quarter after exit quarter divided by the number of participants who exit during the quarter.

For the new Common Measures earnings gain, sub-grantee SCSEP project will capture the amount of wages in the second and third quarters prior to the quarter of participation when the project takes applications for new participants starting July 1, 2007. When these participants exit and are in unsubsidized employment, the SCSEP project you will also capture the amount of their wages in the second and third quarters after exit. The earliest the SCSEP project will capture these wages is July 1, 2007. the SCSEP project will continue to determine if there were wages in the first quarter after the quarter of exit for all participants in unsubsidized employment

641.560 Grantees are encouraged to work with the most difficult to place and refer job ready individuals to the Career Center.

Unsubsidized Placements

- a. The 27% unsubsidized placement goal for the number of authorized slots for this grant period is approximately what percentage? _____

- b. What was the date at the end of the last quarter? _____

- c. What was the target goal number at the end of last quarter? _____

- d. Does it appear that the placement goal will be achieved by the end of the grant period? Yes ____ No ____

- e. What actions are being taken to correct deficiency in meeting goal, if applicable? (Describe).

- f. Was the unsubsidized placement goal met last year? Yes ____ No ____

Private/Public Sector Placement

1. Have linkages been established with private sector employers?
Yes _____ No _____
2. Have linkages been established with public sector employers?
Yes _____ No _____
3. Are private and public sector employers contacted directly to identify and develop suitable job openings?
Yes _____ No _____
4. List major employers that have been contacted within the past program year?

5. How is job development currently being conducted? (Explain.)

6. Have Job Fairs/Job Clubs/WIA OneStop System been used to assist in meeting placement goal?
Yes _____ No _____
7. Is job search assistance being provided to participants?
Yes _____ No _____
8. Is follow-up being conducted with the participant within the first 6 months to determine if support services are needed to maintain employment?
Yes _____ No _____
9. Is follow-up being conducted with the participant to establish placement and delivery of customer service survey if applicable
Yes _____ No _____
 - a. Do follow-ups conform to USDOL requirements?
Yes _____ No _____

PARTICIPANT WAGES AND FRINGE BENEFITS

641.565 Participants' wages are based on the highest applicable minimum wage for time spent in orientation, training, and work in community service assignments.

Grantees may not pay retirement with grant funds.

Unless required by local laws, grantees may not pay costs of employment insurance for participants.

Physical are a fringe benefit not an eligibility criterion.

TEGL 29-04 April 18, 2005

Action Required Grantees must inform all sub-grantees within their state of the "zeroing-out" fringe benefits guidelines on or before May 15, 2005. Grantees and/or sub-grantees must give written notification to all active SCSEP participants of the "zeroing-out" policy on or before June 15, 2005. New or potential SCSEP participants must be advised of the "zeroing-out" fringe benefits policy during the enrollment process.

Effective Date This new fringe benefits policy will be effective Program Year 2005, which begins July 1, 2005. Grantees and sub-grantees must use this effective date for program operations.

Physical examination

Each participant should be offered the opportunity to take a physical examination annually. A physical is a fringe benefit, and is not an eligibility criterion. The examining physician shall provide, to the participant only, a written report of the results of the examination. The participant may, at his or her option, provide the grantee or sub-grantee a copy of the report. The results of the physical examination will not be taken into consideration in determining placement into a community service assignment.

A participant may refuse the physical examination offered. In such a case, the grantee or sub-grantee should document this refusal, through a signed waiver or other means, within 60 work days after commencement of the community service assignment. Thereafter, grantees or sub-grantees will document participants' refusal of the annual physical examination.

1. Are initial physical examinations offered to each participant?
Yes _____ No _____
2. Are additional physical examinations offered at least once a year or before 15 continuous months?
Yes _____ No _____

3. Are physical examinations obtained at no cost to the project whenever possible?
(Explain arrangement.) Yes ____ No ____

4. This new fringe benefits policy became effective Program Year 2005, which began July 1, 2005. Did/is the sub-grantee notifying participants of "zeroing-out" fringe benefits requirement. Yes ____ No ____

MAXIMUM DURATION OF PARTICIPANT

Reg. 641.570 -- 641.575

641.570 A maximum duration of enrollment may be established in the grant agreement when authorized by the Department. Time limits on participants will be reasonable and IEPs will provide for transition to unsubsidized employment or other assistance before the maximum enrollment duration has expired.

Has maximum duration of enrollment been established?

Yes ____ No ____

If so, was it approved in the grant agreement?

Yes ____ No ____

641.575 A grantee may establish a limit on the amount of time its participants may spend at each agency. Such limits should be established in the grant agreement and reflected in IEP.

1. Has a limit on the amount of time at each agency been established?

Yes ____ No ____

2. If so, was it approved in the grant agreement?

Yes ____ No ____

PERFORMANCE ACCOUNTABILITY

Reg. 641.710 – 641.730

PERFORMANCE MEASURES FOR PROGRAM YEAR 2010. Tennessee will be held accountable for six performance measures mandated by the OAA Amendments for PY 2007 and the implementing regulations. These are:

- Entered Employment
- Service Level
- Service to Most-in-Need

- Employment Retention
- Average Earnings
- Community Service

Descriptions of the performance measures follow:

1. Entered Employment Rate

Goal 1

- To meet or surpass 24.5% Placement Rate (62 people)

Strategies for Achieving Goal 1

- Develop and use new techniques to recruit the most amount of eligible people in service area

Performance Measure

- Placement rate = $\frac{62 \text{ participants placed in unsubsidized employment}}{251 \text{ authorized community service positions}}$
- Requires 30 days of employment within the first 90 days of exit

2. Service Level

Goal 2

- To increase the Service Level by 100% or 251 people

Strategies for Achieving Goal 2

- To serve more, develop and use new techniques for moving participants from subsidized employment to unsubsidized employment

Performance Measure

- Service Level = $\frac{251 \text{ participants served}}{251 \text{ authorized positions}}$

$$100\% = 251/251 \text{ positions}$$

3. Service to the Most-in-Need

Goal 3

- To meet or surpass Service to Most-in-Need aim of 2.20 of all participants

Strategies for Achieving Goal 3

- Facilitate partnerships with senior citizens service agencies, partner agencies, faith-based organizations and others where the most in need older individuals can be reached.

- Collect and disseminate information about existing innovative and effective recruitment models and staff training curricula, materials, and techniques.

Performance Measure

- 2.20 of all participants
 - At or below poverty level
 - Poor employment history
 - Poor employment prospects
 - Over 60
 - Language barriers
 - Physical disability
 - Mental disability
 - Cultural, social or geographical isolation
 - Racial status
 - Ethnic status
 - restricts the ability to perform normal tasks
 - threatens the capacity to live independently

Goal 4

- To meet or surpass the Employment Retention rate of 69% for Six months and 12 months.

Strategies for Achieving Goal 4

- Employ methodologies to better identify and match the most suitable participant with the most acceptable position

Performance Measure

- 69% of the qualified placements will still be employed at Six months and 12 months.

Goal 5

- To meet the Community Service of 50.0%
- Hours in the aggregate of community service employment compares the total number of hour's community service provided by each SCSEP grantee to the number of community service hours funded by the grant.

Goal 6

- To meet the Earnings goal of \$6,254
- Of those adult participants who are employed in the first, second and third quarters after the exit quarter: the total earnings in the second quarter plus the total earnings in the third quarter after exit divided by the number of adult participants who exit during the quarter*

This measure only looks at those individuals who are included in the retention measure

PLAN-RELATED TERMINATIONS

614.580 If, at any time, the grantee or a sub-grantee determines that a participant was incorrectly declared eligible as a direct result of false information given by that individual, the individual will be given a written notice explaining the reason or reasons for the determination and will be terminated immediately.

Each grantee or sub-grantee will recertify the income of each participant under its grant or sub-grant, respectively, once each project year. Participants found to be ineligible for continued enrollment because of income will be given, by the grantee or sub-grantee, a written notice of termination and be terminated 30 days after the notice.

If, at any time, the grantee or sub-grantee determines that a participant was incorrectly declared eligible through no fault of the participant, the grantee or sub-grantee will give the participant immediate written notice explaining the reason or reasons for termination, and the participant will be terminated 30 days after the notice.

When a grantee or sub-grantee terminates a participant for cause, it will inform the participant in writing, of the reason(s) for termination and discuss the proposed reasons for such termination in the grant application and must discuss reasons with participants and provide each participant a written copy of the policies for terminating a participant for cause or otherwise at time of enrollment.

Grantees or sub-grantees may terminate a participant if the participant refuses to accept a reasonable number of referrals or job offers to unsubsidized employment consistent with his or her IEP and there are no extenuating circumstances that would hinder the participant from moving to unsubsidized employment.

When a grantee or sub-grantee makes an unfavorable determination of enrollment eligibility under paragraphs (a),(b), and (c) of this section, it must give the individual a reason for termination and when feasible should refer the individual to other potential sources of assistance such as the one stop system.

Any termination as described in (A) through (F) must be consistent with administrative guidelines issued by the Department and terminations must be subject to applicable grievance procedures 641.910.

Participants may not be terminated from the program solely on their age. Grantees and sub-grantees may not impose an upper age limit for SCSEP participation.

- | | | | |
|----|--|----------|---------|
| 1. | Has such termination occurred? | Yes ____ | No ____ |
| 2. | Was it documented according to guidelines? | Yes ____ | No ____ |
| 3. | Was appeal rights and procedures used? | Yes ____ | No ____ |

STATUS OF PARTICIPANTS

Reg. 641-585 – 641-590

641.585 Participants who are employed in any project funded under the OAA are not Federal employees as a result of such employment. [Section 504(a) of the OAA.]

If a Federal agency is a grantee or host agency 641.590 applies.

641.590 Grantees must determine if a participant is an employee of the grantee, local projects or host agency as definition of an “employee” varies depending on the law defining an employer/employee relationship.

During orientation and throughout participation, are participants informed and reminded of the non-employment status of community service activities?

Yes _____ No _____

Is it documented?

Yes _____ No _____

OVER-ENROLLMENT

SCSEP Data Collection Handbook Topic 61
(Until further notice from USDOL)

Responsible over-enrollment is a routine and expected practice in order to ensure that the normal delays in filling vacancies or participants on approved breaks in participation do not cause grantees to under-spend their grants. Since SPARQ was implemented, SCSEP has not had "temporary" positions. All participants are equal, and any durational limit must be applied equally to all participants in a grant. Therefore, there is no legal authority for treating over-enrolled participants as temps who have less right to service than everyone else. When a grantee over-enrolls, it is expected to know what it is doing and to manage its grant so as to avoid any dislocation of participants.

The Recovery Act grant required a disclaimer about termination for lack of funding because the program was scheduled to end on June 30, 2010, and there was no guarantee of continued funding. The regular program is different because there is continuing funding each year. Grantees routinely over-enroll. However, they must do so based on their ability to manage case flow. They must manage their regular grant to have sufficient exits occurring so that the over-enrolled participants are not in danger of being terminated prematurely.

Is the project over-enrolled? Yes _____ No _____

Is the project over or under-spent? Yes _____ No _____

How does the project monitor spending levels during the grant year?
Yes _____ No _____

POLITICAL PATRONAGE AND POLITICAL ACTIVITIES
Reg. 641.833 – 641.836

A recipient or sub-recipient must not select, reject, promote or terminate an individual based on political services provided by the individual or on the individual's political affiliations or beliefs.

No project under Title V of OAA may involve political activities.

No participant or staff persons may be permitted to engage in partisan or nonpartisan political activities during hours for which the participant is paid with SCSEP funds.

No participant or staff person at any time may be permitted to engage in partisan political activities in which such participant represents himself or herself as a spokesperson of the SCSEP project.

No participant may be employed or out stationed in the office of a member of Congress or a State or local legislator or on any staff of a legislative committee.

No participant may be employed or out stationed in the immediate office of any elected chief executive officer (or officers, in the office of chief executive is shared by more than one person) of a State or unit of general government, except that:

- a. Units of local government may serve as host agencies for participant provided that, such assignments are nonpolitical.
- b. While assignments are technically in such offices, such assignments are program activities and not in any way involved in political functions,
- c. Participants are assigned to perform political activities in the office of other elected officials. Placement of participants in such nonpolitical assignments is permissible, however, provided that project sponsors develop safeguards to ensure that participants placed in these assignments are not involved in political activities. These safeguards shall be described in the grant agreement and will be subject to review and monitoring by SCSEP recipient and by the Department.

State and local employees governed by 5 U.S.C. Chapter 15 shall comply with the Hatch Act provisions.

Each project subject to 5 U.S.C. Chapter 15 shall display a notice and shall make available to each person associated with such project a written explanation, clarifying the law with respect to allowable and unallowable political activities under 5 U.S.C. chapter 15 which are applicable to the project and each category of individuals associated with such project. This notice, which shall have the approval of the Department, shall contain the telephone number and address of the DOL Inspector General. [Section 502(b)(1)(P) of the OAA.] Enforcement of the Hatch Act shall be as provided at 5 U.S.C. 1502.

Is there a procedure in place that governs implementation of the provision against activities utilizing SCSEP funds? Yes ____ No ____

1. How are project staff members advised of these requirements?

2. How are SCSEP staff and participants informed that they are prohibited from participating in political activities while on the job?

UNIONIZATION

Reg. 641.839

No funds provided under the Act may be used in any way to assist, promote, or deter union organizing.

1. Are project funds used in any way to support union activity? (Verify).

Yes ____ No ____

2. Are any participants paying union dues? Yes ____ No

NEPOTISM

674.841 No grantee or sub-grantee may hire, and no host agency may be a work site for a person who works in an administrative capacity, staff position, or community

service position funded under Title V or this part if a member of that person's immediate family is engaged in a decision-making capacity (whether compensated or not) for that project, subproject, grantee, sub-grantee or host agency. This provision may be waived by the Department at work sites on Native American reservations and rural areas provided that adequate justification can be documented, such as that no other persons are eligible for participation.

To the extent that an applicable State or local legal requirement regarding nepotism is more restrictive than this provision, that requirement shall be followed.

For purposes of this section:

- a. The term "immediate family" means wife, husband, son, daughter, mother, father, brother, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, stepparent and stepchild, grandparent, and grandchild.
 - b. The term "engaged in an administrative capacity" included those persons who in the administration of project, subprojects, or host agencies have responsibility for or authority over those with responsibility for the selection of participants from among eligible applicants.
1. How does the project ensure for itself and host agencies conformance to nepotism requirements? (Verify) Yes _____ No _____

GRIEVANCE PROCEDURES for APPLICANTS, PARTICIPANTS AND EMPLOYEES

641.910 Each grant must establish, and describe in the grant agreement grievance procedures for resolving complaints, other than those described in paragraph (d) arising between the grantee, employees of the grantee, sub-grantee and employees of the sub-grantee and applicants or participants.

USDOL will not review final determinations made under paragraph (a) of this section, except to determine whether the grantee's grievance procedures were followed according to paragraph (c) of this section

Allegations of violations of federal law, other than those described in paragraph (d) of this Section, which cannot be resolved within 60 days under the grantee's procedures, may be filed with the Chief, Division of Older Worker Programs, Employment and Training Administration, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

Questions about or complaints alleging a violation of the nondiscrimination requirement of Title VI of the Civil Rights Act 1964, Section 504 of the Rehabilitation Act of 1973, Section 188 of the WIA of 1998 or their implementing regulations may be directed to the Director, Civil Rights, USDOL RM N-4123, 200 Constitution Avenue, N.W., Washington,

D.C. 20210. Complaints alleging violations of WIA section 188 may be filed initially at the grantee level. See 29 CFR 37.71 , 37.76. In such cases, the grantee must use complaint processing procedures meeting the requirements of 29 CFR 37.70 to resolve the complaint.

1. Does the project have written personnel policies and procedures?
Yes ____ No ____
2. If yes, does it include: grievance procedures? Yes ____ No ____
3. Are grievance procedures followed? Yes ____ No ____
4. Have any complaints been filed this grant year? Yes ____ No ____
5. Are these documented in files? Yes ____ No ____
6. When a project decides to take adverse action against a participant, does the Project Director notify the state coordinator prior to taking any action?
Yes ____ No ____
7. Was adverse action initiated against any participants during the previous program year?

Yes ____ No ____

(Explain.)

8. How does the project assure that no person is excluded from participation on the grounds of race, creed, color, handicap, national origin, sex, political affiliation or beliefs?

9. Have there been any reports or accusations of suspected discrimination brought to the attention of project staff?
Yes ____ No ____

a. How have they been handled? (Explain)

10. What has the project done to ensure compliance and train the staff with ADA?

11. Does the project ensure that nondiscrimination assurances are included in all contractual agreements? Yes _____ No _____

MAINTENANCE OF EFFORT

641.844 Employment of a participant funded under Title V of the Older American Act is permissible only in addition to employment that would otherwise be funded by the recipient, sub-recipient and host agency without assistance under OAA sec. 502(b)(1)(F)

Each project funded under Title Act V:

- a. must result in an increase in employment opportunities in addition to those which would otherwise be available;
- b. Must not result in the displacement of currently employed workers, including partial displacement such as a reduction in hours of non-overtime work, wages, or employment benefits;
- c. Must not impair existing contracts for service or result in the substitution of connection with work that would otherwise be performed;
- d. Must not substitute SCSEP funded positions for existing Federally-assisted jobs; and,
- e. Must not employ any participant to perform work which is the same or substantially the same as that performed by any other person who is on layoff section 502(b)(1)(G).

1. How are host agencies made aware of the Maintenance of Effort (MOE) requirements? (Explain)

2. Are participants' work assignments a substitute for non-Title V work that should be performed by the regular employees of the host agency?

Yes _____ No _____

3. Are there any MOE violations? If so, explain.

Yes _____ No _____

Section II:

FINANCIAL ADMINISTRATIVE MANAGEMENT & REPORTING

Title V Regulations Specific

Uniform Administrative Requirement SCSEP Funds

641.800 SCSEP sub-recipients must follow uniform administrative and allowable cost requirements that apply to their type of organization.

Program Income

641.806 Income earned must be added the funds to SCSEP and use it for the program. Funds must used in the PY it was received. Recipients that do not continue receiving SCSEP grant from USDOL must return program income earned to USDOL.

Non-Federal Share (Matching) Requirements

641.809 USDOL pays no more than 90% for activities carried out under SCSEP grant. SCSEP recipients must provide or ensure at least 10% (non-Federal share of costs). It may be provided in cash, or in-kind, or a combination of the two. A recipient may not require a grantees or host agencies to provide it as a condition of entering into a sub-recipient or host relationship.

Funds Availability Period

641.812 Recipients must expend SCSEP funds during the program year for which they are awarded.

SCSEP Audit Requirements

641.821 Recipients and sub-recipients receiving SCSEP funds must follow audit requirements that apply to their organization. (see 641.821 (b) and (c) and OAA sec503(f)(2).

SCSEP Uniform Allowable Costs

641.847 Unless specified otherwise in the regulations or the grant agreement, recipients and sub-recipients must follow the uniform allowable cost requirements that apply to their type of organization. (see 641.847(a) and (b))

Other Specific Allowable and Unallowable Costs

641.850 Claims against the government are unallowable and lobbying costs are unallowable. Allowable are One-Stop Costs, minor building repair related costs, accessibility and reasonable accommodation costs, and participant fringe benefit costs. (see 641.850 for detailed explanation)

Cost Classification

641.853 All costs must be classified as administrative costs or program costs.... participant's wages and fringe benefit costs and other participant costs and other costs such as supportive services are in the program cost category. Costs normally associated with administration costs that are host agency/participant related services are charged to program costs.

EXAMPLE:

1. Program Costs
 - a. Participant Wages and Fringe Benefits (EWF)
 - b. Other Participant Costs (OEC)
2. Administration (see 641.853 for details)

Administration Costs Activities

641.856 The cost of administration are those that are not related to programmatic services. (see specified at 641.856 (a) through (c))

Other Special Rules Administration Costs and Program Costs

641.859 Recipients and sub-recipients must comply with the special rules for classifying costs as administrative costs or program costs as set forth in 641.859 (a) through (c).

Program Cost Activities

641.864 Program cost activities include:

- Participant Wages and Fringe Benefits for hours of community services
- Outreach, recruitment and selection and preparation of and updating IEPs
- Participant training provided on the job, in a classroom setting, or utilizing other appropriate arrangements as reasonable costs of instructors' salaries classroom space, training supplies, materials, equipment and tuition;

Subject to restrictions in 641.535, job placement assistance including job development and job search, job fairs, job clubs, and job referrals and; Participant support services as described in 641.545.(OAA sec. 502©(6)(A)).

Limitations on SCSEP Administration Costs

641.867 SCSEP sub-recipients must follow the grant instruction as to the percentage of SCSEP funds to be used as administrative costs.

Participant Wages and Fringe Benefits Minimum

641.873 No less than 75% of the SCSEP funds provided under a grant from USDOL must be used to pay for wages and fringe benefits of participants in such projects including 502(e) of the OAA.

Determination of Cost Limitations and Minimum Expenditures

641.876 TDLWD will determine compliance by examining expenditures of SCSEP funds. The cost limitations and minimum expenditure level requirements must be met at the time all such funds have been expended or the period of availability of such funds has expired, whichever comes first.

Fiscal and Performance Reporting Requirements

641.879 In accordance with 29 CFR 97.40 or 29 CFR 95.51 as appropriate each SCSEP recipient must submit an SCSEP Quarterly Progress Report (QPR) to TDLWD in electronic format via the internet within 30 days after the end of each quarter of the Program Year....

In accordance with 29 CFR 97.41 or 29 CFR 95.52 as appropriate each SCSEP recipient must submit an SCSEP Quarterly Financial Status Report (FSR) to TDLWD in electronic format via the internet within 30 days after the end of each quarter of the Program Year....

(see 641.879 (a), (b), (c), (d), (e), (f), (g), (h), (I) for detail explanation)

Grant Closeout Procedures

641.884 SCSEP recipients must follow the grant closeout procedures at 29 CFR 97.50 or 29 CFR 95.71 as appropriate. The TDLWD will issue closeout instructions to projects as necessary.

FISCAL MANAGEMENT

Are the expenditures charged to Title V reasonable (based on allocation formula)?
Yes _____ No _____

Does the accounting system have cost codes to separate Title V from other programs?
Yes _____ No _____

Does the project have a system for allocating cost to the appropriate cost category?
Yes _____ No _____

Does the project have a system for monitoring planned vs. actual cost and for taking corrective action?
Yes _____ No _____

If yes, please describe below:

Has the project earned any program income? Yes _____ No _____

If yes, explain how this income was used)

Does the Project Office accounting system provide adequate cost data to Project Director?
Yes _____ No _____

Did the project comply with all closeout procedures required by the Legal Agreement? Yes ____ No ____

FINANCIAL REPORTS

Has the project submitted accurate monthly and quarterly financial reports on a timely basis? Yes ____ No ____

Do all financial reports include accruals? Yes ____ No ____

INDIRECT COST

Does the sub-sponsor charge indirect cost to the grant? Yes ____ No ____

Does the sub-sponsor use an approved indirect cost rate for charging indirect cost to the grant? Yes ____ No ____

Does the rate agreement cover the period of performance for the current grant? Yes ____ No ____

What is the rate? Rate: _____

SUBSPONSOR SHARE (NON-FEDERAL CONTRIBUTION) OF PROJECT COST

How is the sponsor tracking and calculating the 10 percent share? Describe.

Is documentation available? Yes ____ No ____

Is it calculated and reported monthly? Yes ____ No ____

AUDIT REQUIREMENTS

What is the period covered by the most recent audit? _____

Were there any administrative findings in the last audit report?

Yes _____ No _____

Has the project taken corrective action to resolve findings?

Yes _____ No _____

Has a final Findings & Determination (F&D) been made?

Yes _____ No _____

Were any costs disallowed?

Yes _____ No _____

If so, how much?

\$ _____

Section III:

GRANT REQUIREMENT ADMINISTRATIVE REVIEW

I. ADMINISTRATION AND STAFFING

Is staffing in accordance with approved Contract Agreement and Budget?

Yes _____ No _____

Are job descriptions available?

Yes _____ No _____

Do the job descriptions reflect accurately the time split between Program Costs and ADMIN?

Yes _____ No _____

Does the project maintain, on-site, the following records:

a. Organizational Charts

Yes _____ No _____

b. Position Descriptions

Yes _____ No _____

c. Time Sheets

Yes _____ No _____

Are there posting of appropriate posters (political activity limitation, EEO, etc.) in the project office?

Yes _____ No _____

STAFF TRAINING

Has the project staff received orientation and ongoing training from the State?

Yes _____ No _____

Has the project provided orientation
and training to host agencies?

Yes _____ No _____

PLAN OF ACTION AS DESCRIBED IN THE GRANT

Is the project following plan of action as outlined in the Grant Narrative?

Yes _____ No _____

Has staff implemented recommendations for any corrective action?

Yes _____ No _____

Are all members of the staff familiar and knowledgeable of the Grant's plan of
action?

Yes _____ No. _____

PROGRAM REPORTING

Are Monthly and Quarterly, Financial and Programmatic, Reports submitted to the
TDLWD accurately and in a timely manner? Yes _____ No _____

PARTICIPANT PAYROLL SYSTEM (PPS)

If there participant payroll files, are the following forms contained there?

Consecutive time sheets properly signed for each preceding pay period?

Yes _____ No _____

Evidence that wage is at least the same as current Federal or State minimum
wage, whichever is higher?

Yes _____ No _____

How does the PPS operate?

Are hours worked tracked cumulative?

Yes _____ No _____

If applicable, are annual and/or sick leave time accrued accurately and
are records kept?

Yes _____ No _____

Are there two valid signatures (Participant and Supervisor) on each time
sheet?

Yes _____ No _____

Describe how the checks are disbursed?

PARTICIPANT FILE VERIFICATION

1. Do the files contain the following required current documentations?
 - a. Applicant/Participant Form jointly signed by the applicant/ participant & interviewer Yes ____ No ____
 - b. Community Service Form Yes ____ No ____
 - c. Confidential Income Statement jointly signed by the applicant/ participant & interviewer Yes ____ No ____
 - d. Recertification Yes ____ No ____
 - e. Applicant's Confidential Statement at Recertification Yes ____ No ____
 - f. Initial Assessment Form Yes ____ No ____
 - g. Annual Assessment Yes ____ No ____
 - h. Individual Employment Plan Yes ____ No ____
 - i. (Goals, Support Services, Training) Yes ____ No ____
 - j. 1.a. IEP Follow up/Review Yes ____ No ____
 - k. Initial physical, reexamination, and/or waiver? (Those enrolled after July 26, 1992 kept separately for ADA requirements) Yes ____ No ____
 - l. Exit Form Present? Yes ____ No ____
 - m. Termination for cause (including proper documentation) Yes ____ No ____

- n. Unsubsidized Placement Follow-up Yes ____ No ____
2. Was there a Participant Training Description at Host Agency?
Yes ____ No ____
3. Do you have the following Orientation Documentation?
- a. Participant Yes ____ No ____
- b. Host Agency Yes ____ No ____
- c. Grievance Procedure Yes ____ No ____
4. Are there records of Supportive Services including Quarterly participant meetings, job seeking skills training, etc.
Yes ____ No ____
5. Do you have the Participant Performance Evaluations
Yes ____ No ____
6. Are the Host Agency and Participant documents present?
Yes ____ No ____
7. Was there a Monitoring Form?
Yes ____ No ____
8. Are Host Agency File Verifications included? Yes ____ No ____
9. Host agency Agreement w/ FEIN Yes ____ No ____
10. 501^{(c)(3)} Verification Yes ____ No ____
11. Do the files contain required copies of source documentation to prove
- Age Yes ____ No ____
- Income Sources Yes ____ No ____
- Family Size Yes ____ No ____
12. Copy of income tax forms should applicant/participant be claimed as a dependent of a family member w/ whom they reside? Yes ____ No ____
- 501^{(c)(3)} Verification Yes ____ No ____

INSURANCE AND BONDING REQUIREMENTS

1. Does the project have adequate public liability and other appropriate forms of insurance as stated in the Grant Agreement? Yes ____ No ____
 - a. Workers' Compensation Insurance? Yes ____ No ____
 - b. Occupational Diseases Insurance? Yes ____ No ____
 - c. Employer Liability Insurance? Yes ____ No ____
 - d. General Liability Insurance? Yes ____ No ____
 - e. Automobile Liability Insurance? Yes ____ No ____

TRAVEL PROCEDURES

Are there written travel procedures? Yes ____ No ____

Do the travel expenses charged to the sub-grant meet the requirements of the Grant? Yes ____ No ____

EQUITABLE DISTRIBUTION

1. Does the project have a copy of the latest Equitable Distribution Plan? YES ____ No ____

STATE SENIOR EMPLOYMENT SERVICES COORDINATION PLAN

1. Does the project have a copy of the latest State Plan? Yes ____ No ____

Section IV:

PARTICIPANT TRAINING SITE VISIT

Since a Senior Community Service Employment Program is made up of people, it is important that the participants be interviewed to obtain their perspective and to analyze the program from the impact it has on their lives. Moreover, it is a good way to see if those program rules relating to participants are being followed.

The following list of questions may be used in each interview or in a few interviews. Each question may not be appropriate in each interview. Taken collectively, they represent an effort to get at an overall perception of the project. However, the interviewer must also be aware of individual violations of the regulations. For instance an individual violation of the nepotism rule should be noted so that corrective action can be taken.

The monitor should adapt his/her own particular style of interviewing and need not ask the questions in any predetermined order. The approach is a flexible one but at the conclusion of the interviews the monitor should be able to characterize the project's treatment of the s. Since the s represent 75% plus of the project expenditures, most compliance issues can be examined during the course of the interviews.

INTERVIEW GUIDE

1. How did you find out about SCSEP?

2. What is your training assignment? What do you do?

3. What were you doing prior to SCSEP?

4. When you made application:

- a. Were you informed of working conditions, wages, fringe benefits, and supportive services? Yes _____ No _____

- b. Were you given a copy of your training assignment? Yes _____ No _____

- c. Were you told you could not perform any political activity during working

hours or other hours for which you are receiving pay under this program?

Yes ____ No ____

d. Were you informed about the role of the Tennessee Department of Labor and Workforce Development as the funding source for this program?

Yes ____ No ____

e. Did you receive materials to assist you in your training assignment?

Yes ____ No ____

f. Did you receive any training before being placed at the training site?

Yes ____ No ____

1. If yes, how many weeks?

g. Have you received any training since you have been on the program?

Yes ____ No ____

h. Describe your training.

5. Were you given a copy of the Title V grievance procedures?

Yes ____ No ____

6. Were you given any training on how to find an unsubsidized job?

Yes ____ No ____

7. What are you currently doing to find unsubsidized employment?

8. Time and Attendance

a. How do you account for your time?

Yes ____ No ____

- b. How often are you paid? _____
- c. How many hours do you work per week? _____
- d. Do you receive annual and/or sick leave? Yes _____ No _____
- e. Do you ever work without pay or compensatory time? (Volunteer)
- Yes _____ No _____
- f. Are you paid on time? Yes _____ No _____
9. Did you receive counseling as an ongoing process to further your training?
- Yes _____ No _____
- a. Group Yes _____ No _____
- b. Individual Yes _____ No _____
10. Are sessions on a regular basis? Yes _____ No _____
- a. If yes, how often? _____
11. When was the last time someone from the program visited your training site?
- _____
- _____
12. Are you receiving or have you received any supportive services?
- Yes _____ No _____
- a. If so, what type?
- _____
- _____
- _____
- _____
13. Were you offered a physical exam before you entered the SCSEP program?
- Yes _____ No _____
14. Was it before you began your training? Yes _____ No _____
15. Did you pay for your own physical examination? Yes _____ No _____

OBSERVATIONS ABOUT SUPERVISION AND HOST AGENCIES

1. Were the participants being supervised? Yes ____ No ____
2. Were the participants working under safe and healthy working conditions?
Yes ____ No ____
3. Did the host agency appear to be one that could provide appropriate training to the and serve as a future unsubsidized placement site?
Yes ____ No ____

4. How are host agencies encouraged to take s on to their regular staff?

5. Name the host agencies visited.

[illegible]